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## ABSTRACT

A Management Development and Training Program has been developed by the Higher Education Management Institute to improve the overall functioning of higher education organizations. The Institute believes management development and training can: add to individuals' knowledge and skills, increase awareness of management processes and systems; identify prospective managers; and institutionalize management development and training for organizational improvement. The program's design and process are based on the knowledge gained in a pilot project involving college and universities. The state-of-the-art in management development and training was determined through a review of current approaches; collection of vendor catalogs and training materials from 200 publishers and vendors, literature searches focusing on management positions on academic, business, community, and student affairs; and a literature review of theories of organizational functioning and human effectiveness in organizations. Program activities are outlined for the following five phases of the program: introduction, needs assessment, action planning, implementation, and evaluation. Appendices include a bibliography, program participation agreement, summary survey data, confidentiality policy concerning survey-guided needs assessment data and reports, titles and major topics of program modules, and sample modules. (SW)

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**Management Development  
and Training Program  
for Colleges and Universities**

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**Program Handbook  
May, 1978**

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Higher Education Management Institute Staff

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## 1. PROGRAM BACKGROUND

### 1.1 Introduction

In April, 1976 the Exxon Education Foundation funded a project to design, create, test and disseminate a Management Development and Training Program applicable to colleges and universities. This project, and the Program that has been developed from it, are being carried out by the Higher Education Management Institute. The Institute is a nonprofit tax-exempt public foundation, established to undertake this Program.

The Institute's intent is to create a Program that will improve the overall functioning of higher education organizations, while incorporating the training needs and career plans of the individuals within them. The Program focuses on meeting the management improvement goals of the institution as a whole; while including all of its parts--academic, business, community and student affairs.

In August, 1976 invitations to participate in a pilot project were sent to 3,017 colleges and universities. Responses were received from 557 institutions (18%); letter proposals from 454 of these (15%). This response provided substantial evidence of the need for a management development and training program specifically designed to meet higher education needs. Since that time approximately 300 additional colleges and universities have requested information about participation in the Program.

The Program described here incorporates what the Institute has learned from the pilot project. The Institute has adapted knowledge about management development and training to the special needs of higher education. The Program has been designed to use this knowledge and to tap the resources that exist within the higher education community to further develop and deliver the Program to all institutions choosing to participate.

### 1.2 Program Objective

The overall Program objective is to improve institutional performance by improving managerial performance. The Institute believes management development and training can:

- add to individuals' knowledge and skills
- increase awareness of management processes and systems
- identify prospective managers
- institutionalize management development and training for organizational improvement.

### 1.3 Program Characteristics

The Program is designed to be:

- 1) Concerned with managers' primary responsibilities for setting goals, obtaining and allocating resources, working effectively with people, and achieving results.
- 2) Specific to higher education management, with adequate flexibility for adaptation to different types of institutions in various situations and settings.
- 3) Organization-wide, encompassing all areas of the institution.
- 4) Focused on each institution's unique needs, as these are identified by the institution, using survey-guided needs assessment.
- 5) Evaluated by each institution and the Institute, helping to ensure that planned results are being achieved.
- 6) Institution-based, conducted almost entirely on-site by institutional staff members, once they are trained to do so.
- 7) Integrated into on-the-job activities to the greatest possible extent, allowing each manager to immediately use newly acquired knowledge and skills.
- 8) Ongoing, for use by the institution to effect real improvements in institutional functioning.
- 9) Cost and time conscious; considerate of managers' scarce time and the institution's budget for development and training.
- 10) Available to the institution on the basis of cost reimbursement. All development costs are being funded by the Exxon Education Foundation.

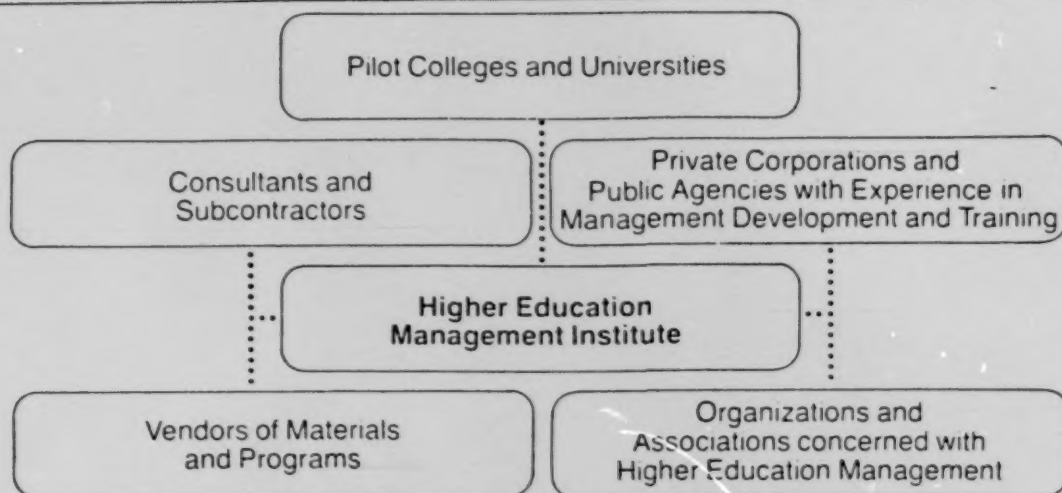
### 1.4 Pilot Project

The sources that made important contributions to the pilot project are shown in Figure 1. The Program's design and process are based on the knowledge gained in the pilot project. The pilot colleges and universities, listed in Figure 2, were the primary source of information for developing the Program. Their advice, criticism and reactions as they tested the various Program materials were a vital resource. The Institute, and the higher education community, are in their debt!



## Program Development

Figure 1.



## Pilot Institutions

Figure 2.



## 2. DETERMINING THE STATE-OF-THE-ART IN MANAGEMENT DEVELOPMENT AND TRAINING

### 2.1 Introduction

The Institute, in order to develop a comprehensive knowledge base for the Program, undertook a comprehensive review of the state-of-the-art in management development and training. The following activities were undertaken:

- 1) A review of current approaches to management development and training in higher education. These approaches were compared with methods used in the private sector and governmental units.
- 2) Over 200 publishers and vendors of management development and training materials were invited to submit materials that they believed might be applicable to colleges and universities. A large number of vendor catalogs and, in many cases, training materials resulted. Evaluation of these materials continues as one basis for development of HEMI modules.
- 3) Comprehensive literature searches on higher education management development and training needs and programs were commissioned, focusing on academic affairs, business affairs, community affairs, and student affairs management positions.
- 4) A review was undertaken of the literature on theories of organization functioning and human effectiveness in organizations.

### 2.2 Approaches Used for Management Development and Training

In their study of higher education, Dressel and Mayhew (1974), (see Bibliography in Appendix A) listed 67 universities offering programs leading to the Ed.D. or Ph.D. degree in higher education. They estimated that in 1974 the enrollment in these programs was about 4,100.

The Institute examined a small sample of these programs in some detail. While all programs expressed a concern for the continuing education of higher education executives, there was no apparent programmatic relationship between the graduate degree programs and the school's continuing education unit or the consulting activities of individual faculty members. The program catalogs and descriptive materials received did not reveal any courses in management development and training or the professional development responsibilities of future executives. Graduate

programs in higher education do not now appear to serve the management development and training needs of large numbers of college and university managers.

The Institute's review of current approaches to management development and training also indicated that there was little available for on-the-job management development and training programs. No comprehensive programs were found with a high degree of flexibility and adaptability for meeting the needs of administrators, usually promoted from the academic ranks, with little or no formal management training.

It also appears that colleges and universities have very little in the way of in-service programs for management development. The Institute has identified fewer than fifty institutions that have full time people with management development responsibilities. Discussion with more than 20 of these people brought out the fact that their efforts were primarily concentrated in non-academic areas.

Institute staff visited corporate training managers at Exxon, General Electric, General Motors, IBM and other corporations. In contrast with higher education, extensive programs for management development and training are available. Large companies have developed programs and materials for the development and training of their own employees. They have a clearly established management development and training ethic. Many spend from 1% to 2% of gross payroll on development and training.

## 2.3 Management Development in Higher Education

Literature searches conducted for the Institute by graduate research assistants at Indiana University and at The University of Michigan identified some consistent patterns in colleges and universities:

- 1) The Higher Education research literature rarely deals with management development and training. Five graduate research assistants found only about 600 citations over the past ten years related in any way to management development and training in higher education. Most of these were doctoral dissertation studies on limited populations.

- 2) The great majority of these research studies described position tasks or responsibilities. Efforts to convert these position elements into skill or competency groupings as a basis for defining training program content are all but non-existent.

- 3) The journal literature in higher education has almost no research citations on management development and training, and few articles other than reports of individual experience and opinion.

4) No research studies were reported which took an organization-wide look at management positions. Research has yet to relate management position skills or competencies to the organizational setting.

5) Evaluation of training programs in higher education is almost always in terms of trainee satisfaction with the program. No instances of training program evaluation by measuring changes in performance or output were reported.

6) Reports of the work done by training managers and their staffs in colleges and universities seemed rarely to move from internal reports and other fugitive sources to the higher education journal literature or to the educational resources information (ERIC) dissemination system.

This situation imposes the dual penalty of depriving higher education managers, professors and students from learning about this important area, and also inhibits them from contributing to advancing the state-of-the-art in management development and training.

It is an interesting paradox that while little internal management development and training is taking place in colleges and universities, they deliver management development and training services to thousands of private corporations and public agencies.

## 2.4 Theories of Organizational Functioning

The paucity of citations dealing with higher education management led the Institute to review the literature on theories of organizational functioning and human effectiveness. Figure 3 overviews several major theories of organizational functioning and human effectiveness.

The Institute recognizes that these theories have been developed primarily from research done for business organizations. However the Institute also believes that management is a generic function in human organizations, and the lessons learned from research in other areas can benefit colleges and universities.

The opposite view, that business organization management is not fully transferable to colleges and universities (Millett, 1975), has been considered. It is agreed that specific management strategies cannot always be transferred one-for-one to colleges and universities. However, the underlying assumptions of organizations as complex social systems are considered useful and applicable.

The attraction of these approaches to organization functioning is that they present a model for management development and training in

Figure 3.



## Theories of Organizational Functioning and Human Effectiveness

|                   |                                  |                            |                                      |                                 |
|-------------------|----------------------------------|----------------------------|--------------------------------------|---------------------------------|
| Likert            | System 1<br>Coercive             | System 2<br>Competitive    | System 3<br>Consultative             | System 4<br>Collaborative       |
| Argyris           | Autocratic Relationships         | Manipulative Relationships | Authentic Relationships              | Interpersonal Competence        |
| Blake and Moulton | 1,1<br>Neutrality and Indecision | 1,9<br>Unbalanced Concern  | 5,5<br>Compromise Middle-of-the-Road | 9,9<br>Integration of Resources |
| McGregor          | Theory X                         |                            | Traditional                          | Theory Y                        |
| Bennis            | Authoritarian, Restrictive       |                            | Goal-Oriented, Adaptive              |                                 |
| Herzberg          | Hygiene Seeking                  |                            | Motivation Seeking                   |                                 |
| Maslow            | Lower-Need Fixation              |                            | Self-Actualization                   |                                 |

organizations. In particular, the Institute believes that survey-guided development, based on the work of Rensis Likert and his colleagues in the Institute for Social Research at The University of Michigan, provides a viable approach for colleges and universities.

The theories shown in Figure 3 provide a systemic framework for viewing management, and individual managers in the institutional setting. Management development and training programs, if they are to succeed, must take into account a complex set of factors that influence the behavior of individual managers. Included are personal characteristics, prior experience, the management structure of the institution, its objectives and programs, and social and economic conditions in the larger society.

## 2.5 Management Definition and Characteristics

These studies of present practices and theories of organizational functioning led the Institute to several conclusions about the nature of management: in colleges, universities and other types of organizations.

The theories of organizational functioning and human effectiveness form the basis for what appear to be different approaches to management. Comparison of the major theories however, showed many underlying concepts in common. Overall there was much agreement that approaches to management which are autocratic, manipulative, restrictive, and without fully articulated goals are generally less effective.

On the other hand, effective organizations seem to be characterized by open communications, good team work, widespread participation in decision making, strong support by managers of those for whom they are responsible, encouragement of individual initiative, establishment of high standards, development of performance measures, and feedback to each individual about actual versus planned performance.

These approaches to management, defined by Peter Drucker (1974,p.17) as "directing vision and resources toward greatest results...", are embodied in the Institute's Program, and form the underlying philosophy of the training modules.

The Program also emphasizes the need for institutional managers to deal with certain fundamental concerns. Required is recurring examination of their position on such questions as:

- What kind of an institution are we?
- Who do we serve?
- What is our value to those we serve?
- What kind of an institution should we be?

Dealing with these questions leads directly to management's primary responsibilities for:

- setting goals
- obtaining and allocating resources
- working effectively with people and
- achieving results.

In order to carry out these primary management responsibilities, there are specific higher education management tasks, processes, activities, and skills that need to be understood, mastered, and used. The Program has been built around these four areas: tasks, processes, activities and skills.

## 2.6 Review of Existing Development and Training Programs and Materials

At the same time the Institute was reviewing management development and training in colleges and universities and major corporations, and the related literature on organizational theory, letters were sent to over 200 publishers and vendors of management development and training materials.

Evaluation of the materials received continues, using the following questions:

- Does the material apply directly to higher education management?
- Is the material of appropriate depth?
- Is the delivery method appropriate for the educated and extremely busy managers in higher education institutions?
- Can the materials be used without expert presenters: are they leader independent?

Materials meeting these criteria are categorized as:

- 1) Materials that might be used with little modification.
- 2) Materials not conceived for higher education but which might be pertinent.
- 3) Materials not directly applicable to higher education, but including concepts or approaches that might be appropriate.

The materials developed for the Institute's Program are drawn from several sources:

- 1) Material from major corporations for which permission to use or adopt has been given to the Institute.
- 2) Consultants from pilot or other colleges and universities preparing materials on a contractual basis.
- 3) Materials developed by Institute staff members.
- 4) Proprietary materials the Institute has contracted to include in the Program.

### 3. PROGRAM ORGANIZATION

The Program structure, and its five major phases, are over-viewed in Figure 4.

#### 3.1 Introduction, Phase 1

Program introduction typically includes information from Institute literature, a program seminar, and discussion of key concepts with the institution's executive officers, and often Board members. Based on assessment of commitment and readiness to undertake a development and training program, and on the appropriateness of HEMI's Program, the institution makes the program participation decision. Program participation starts with completion of the Program Participation Agreement, Appendix B, and orientation meetings with senior managers. Appointment of a task force, coordinator, and further Program orientation meetings follow.

#### 3.2 Needs Assessment, Phase 2

The next Program phase involves assessment of management development and training needs. The initial needs assessment is accomplished by administering survey questionnaires to the board members and managers. Samples of faculty, staff and students are also surveyed.

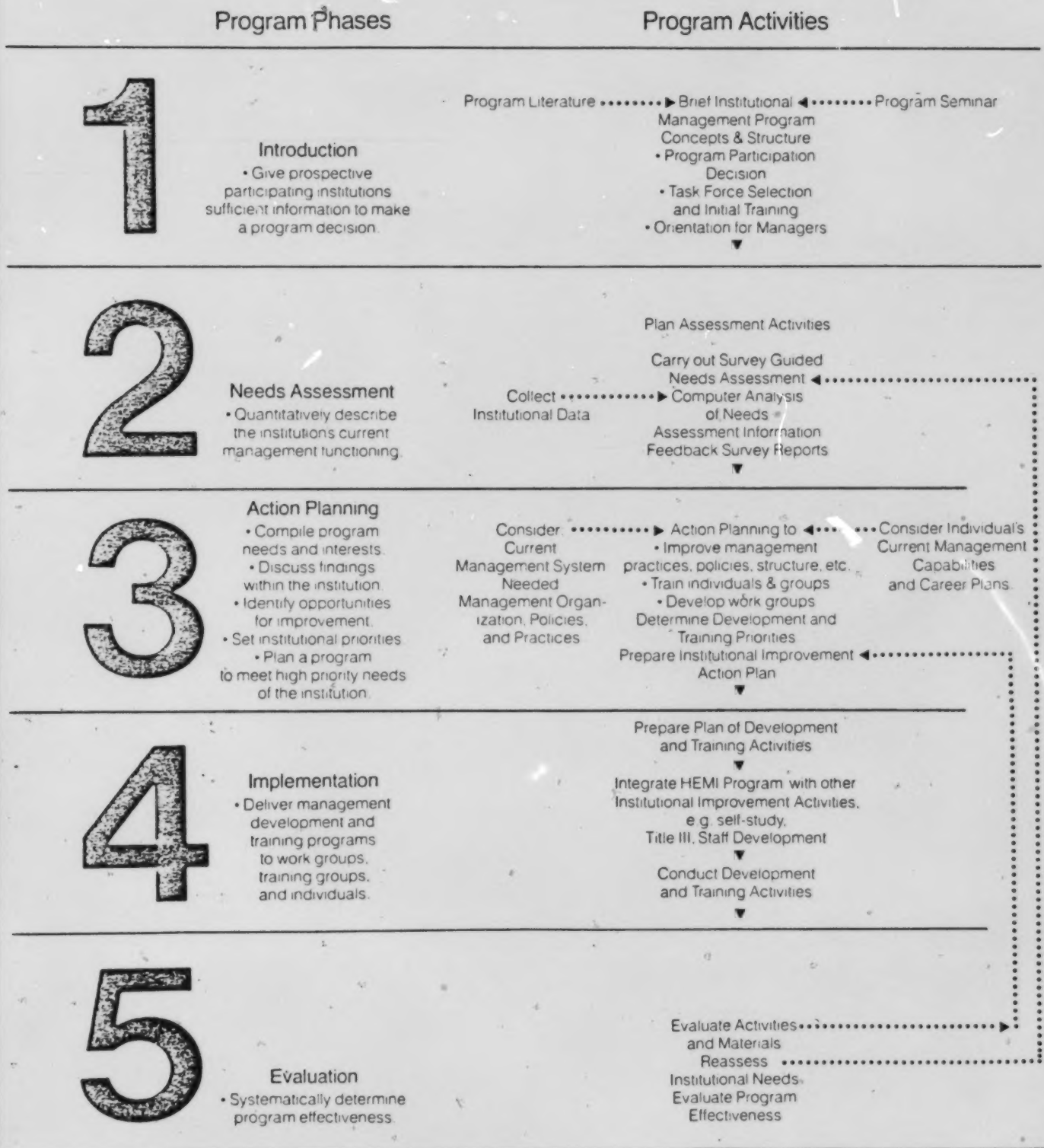
Survey and other data collected are analyzed, and the results are reported to work groups at the institution for their discussion.

#### 3.3 Action Planning, Phase 3

This phase of the Program involves identification of development and training objectives. Action Plans consider management development and training needs, and current capabilities and career plans of individuals that will participate in development and training activities. Individual development and systemic processes are considered.

Improvement of individual and work group functioning is approached in terms of activities for improving knowledge and skills.

Figure 4.



### 3.4 Implementation, Phase 4

Phase 4 consists of delivering management development and training activities to groups and individuals. These activities respond to the institution's priority needs, identified in Phase 3.

### 3.5 Program Evaluation

Evaluation activities include assessing the effectiveness of development and training activities, participants' satisfaction with the Program, and institutional outcomes as they change over time. Evaluation will be accomplished by participants in each training activity; reassessment of institution needs by once again surveying board members, managers, staff, faculty and students. In this way it should be possible to identify quantitatively any changes that have occurred in management practices and institutional outcomes. Evaluation activities form the basis for continuous Program review and improvement.

### 3.6 Program Materials

Each Program phase has several "products" associated with it. These materials instruct and guide the institution; first in the use of the Program in Phases 1, 2, and 3; then providing management training in the Implementation phase. Program materials include:

- This Program Handbook
- Executive Handbook and accompanying program overview videotape
- Task Force Handbook
- Manager's Handbook
- Program Reference Manuals
- Program Catalog (of training modules)
- Program Bulletins

#### 4. NEEDS ASSESSMENT

##### 4.1 Needs Assessment Methods

There is substantial agreement that thorough needs assessment must precede management development and training activities.

Needs assessment methods encountered in programs reviewed by the Institute included:

- compilations of experience (brainstorming)
- checklists
- executive identification and selection
- vendor identification and selection
- survey-guided.

As noted in Section 2.4 above, the Institute believes that survey-guided development is the most viable approach for institutional improvement in colleges and universities.

The Institute selected survey-guided development because it provides:

- widespread involvement of managers, faculty, and staff.
- an opportunity for detailed articulation of individual, work group, and institutional needs.
- increased awareness of management development and training by all participants.
- a basis for measuring change.
- comprehensive assessment of organizational functioning.
- cost effectiveness; large amounts of data are generated, organized, summarized, and reported at low cost.
- flexibility; the institution selects the work groups to be surveyed.
- a professional means for obtaining informed opinion.
- comparability between the institution and HEMI's data base, from which comparative reports can be obtained.
- evidence of effectiveness based on published research.
- research data as the basis for continuing research.

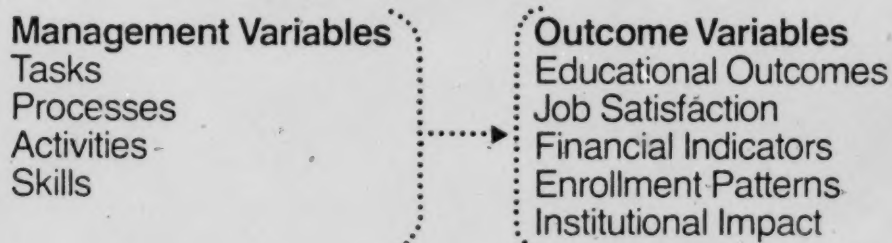
## 4.2 Assessing Organizational Functioning

The management variables and outcome variables examined by the survey-guided needs assessment are illustrated in Figure 5.

Figure 5.



## Assessing Organizational Functioning



Survey questionnaires were developed and tested in the pilot project. Almost 15,000 individuals in some 1,500 work groups were surveyed. Based on the resulting data the surveys were revised to more economically and accurately assess management and outcome variables. Interrelated questionnaires have been prepared for:

- Governing Board members
- The President or Chancellor
- Managers (Vice Presidents or Vice Chancellors, Deans and Directors)
- Department Heads
- Faculty members
- Students
- Staff members in academic and other units
- Members of institution-wide and unit Committees

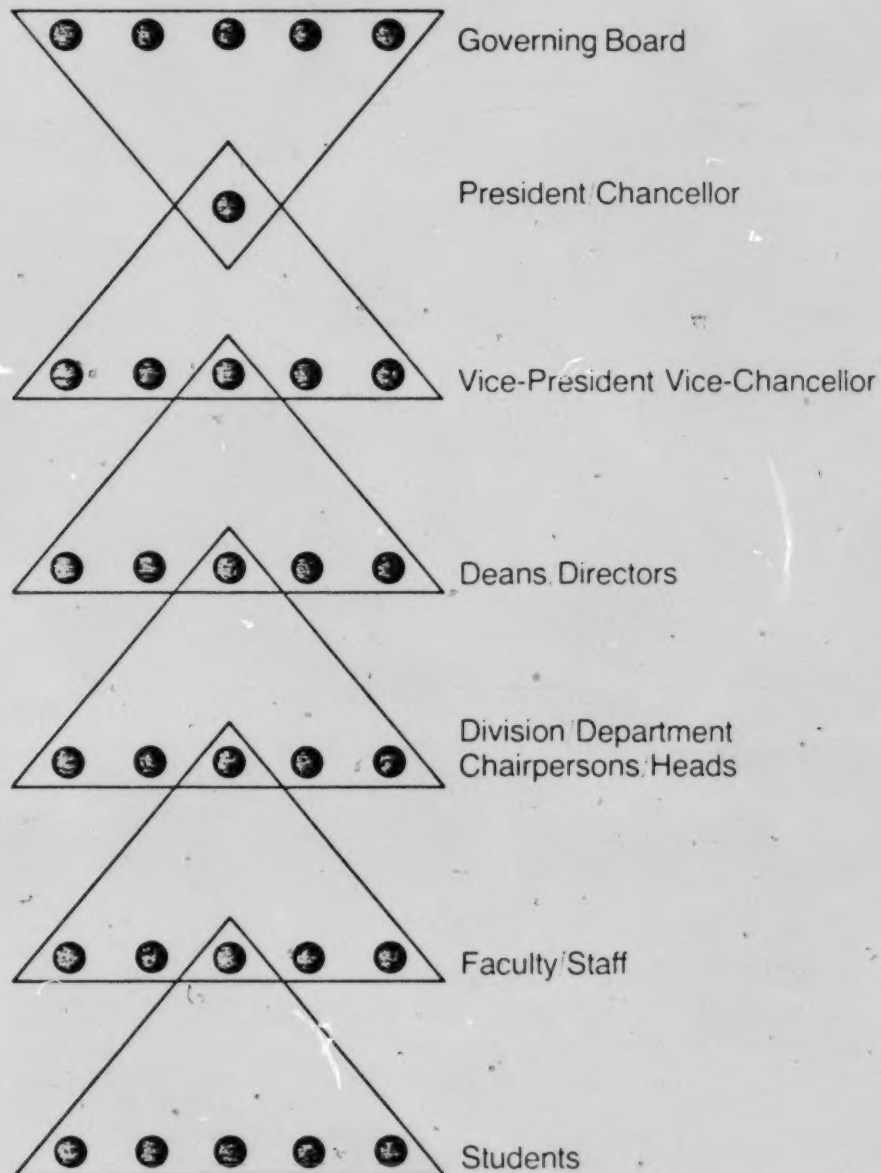
## 4.3 Work Groups

The needs assessment survey, information feedback, and action planning processes are based on work groups. Work groups are groups of people who share program responsibilities, are usually members of the same organizational unit, and in many cases, who meet together on a regular basis. Relationships among typical work groups in colleges and universities are illustrated in Figure 6.

Figure 6.



## Typical Work Groups In Colleges and Universities

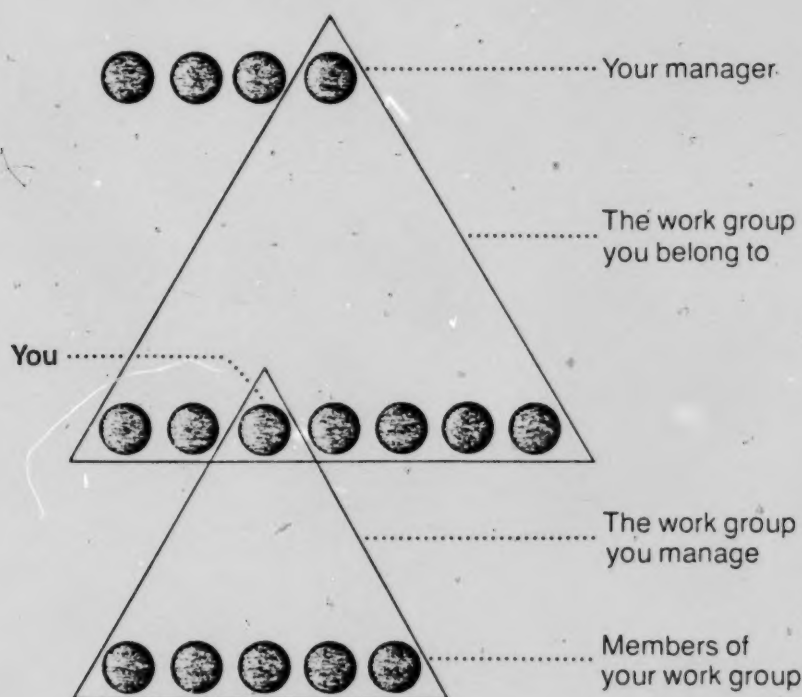


The relationship between individuals and their work group is shown in Figure 7. Note that each manager is usually the leader of one work group and a member of the work group headed by the person to whom he or she reports. Thus, each manager is a "linking pin" between work groups. This relationship facilitates communication of information throughout the organization.

Figure 7.



## Individual- Work Group Relationships



Work groups to participate in the HEMI Program are selected by the institution. Work group members are surveyed. Each work group manager receives a summarized report of the group members' survey data. Work groups are the primary source for identifying opportunities for institutional improvement, through the action planning process, and a major focus of development and training activities to meet identified needs.

#### 4.4 Needs Assessment Survey Reports

Individuals participating in the Survey complete a machine scored answer sheet. The data generated by the Survey is processed by the Institute to obtain measures of the extent to which effective management practices are used in the institution; based on the perceptions of those responding to the Survey. An illustrative Survey Report page is shown in Figure 8.

A report is prepared for each work group surveyed. The Institute provides work group reports to the manager of the work group. Survey data tabulations and work group reports are ready for feedback to the institution within five weeks of receipt of all survey answer sheets.

Many institutions are interested in comparing their survey data with others. Grouped scores for specific subsets of institutions can be produced from the Program data bank. In addition any participating institution may also agree to share their data with other institutions for mutual benefit.

Illustrative summary data from surveys conducted in the pilot institutions are shown in Appendix C.

#### 4.5 Survey Confidentiality

The needs assessment survey process can only work if each individual is assured that their perceptions will be used constructively, professionally, and anonymously. The Institute has developed a Confidentiality Policy stating that individual's anonymity will be protected, work group reports are confidential, and institution-wide data are reported only in summary form. This Policy is in Appendix D.

Figure 8.

Coconut Grove College  
Faculty Members  
Work Group 23456

| Variable:<br>Index<br>Questions                                                                                           | ◀ Survey Scores ▶ |                 |   |   |   |   |   |   |                 |   |  | Mean | Std.<br>Dev. |
|---------------------------------------------------------------------------------------------------------------------------|-------------------|-----------------|---|---|---|---|---|---|-----------------|---|--|------|--------------|
|                                                                                                                           | Response          | Small<br>Extent |   |   |   |   |   |   | Great<br>Extent |   |  |      |              |
|                                                                                                                           | N                 | 1               | 2 | 3 | 4 | 5 | 6 | 7 | 8               |   |  |      |              |
| <b>1.4 Communicating</b>                                                                                                  |                   |                 |   |   |   |   |   |   |                 |   |  |      |              |
| 065 To what extent does your department head find time to listen to faculty?                                              | 7                 |                 |   |   |   |   |   |   |                 | N |  | 6.8  | .7           |
| 066 To what extent does your department head provide faculty with accurate and complete information?                      | 7                 |                 |   |   |   |   |   |   |                 | N |  | 7.0  | .7           |
| 067 To what extent does your department head get new information out as quickly as possible?                              | 7                 |                 |   |   |   |   |   |   |                 | N |  | 7.2  | .4           |
| Index Total                                                                                                               | 7                 |                 |   |   |   |   |   |   |                 | N |  | 7.1  | .6           |
| <b>2.2 Budgeting</b>                                                                                                      |                   |                 |   |   |   |   |   |   |                 |   |  |      |              |
| 064 To what extent do budget allocations reflect the objectives and priorities of the institution as you understand them? | 7                 |                 |   |   |   | N |   |   |                 |   |  | 4.1  | .9           |
| 071 To what extent are budget decisions made fairly at this institution?                                                  | 7                 |                 |   |   |   |   | N |   |                 |   |  | 5.1  | 2.2          |
| 076 How satisfied are you with the extent of your involvement in the preparation of the budget for your unit?             | 6                 |                 |   |   |   | N |   |   |                 |   |  | 3.6  | 1.6          |
| Index Total                                                                                                               | 6                 |                 |   |   |   | N |   |   |                 |   |  | 4.2  | 1.4          |
| <b>3.5 Student Services</b>                                                                                               |                   |                 |   |   |   |   |   |   |                 |   |  |      |              |
| How satisfied are you with the following student services                                                                 |                   |                 |   |   |   |   |   |   |                 |   |  |      |              |
| 074 Admission procedures?                                                                                                 | 7                 |                 |   |   |   |   |   |   |                 | N |  | 6.0  | 1.1          |
| 075 Registration procedures?                                                                                              | 7                 |                 |   |   |   |   |   |   |                 | N |  | 6.5  | 1.0          |
| 078 Academic advising?                                                                                                    | 7                 |                 |   |   |   |   |   |   |                 | N |  | 6.5  | 1.0          |
| Index Total                                                                                                               | 7                 |                 |   |   |   |   |   |   |                 | N |  | 6.3  | .9           |
| <b>5.3 Job Satisfaction</b>                                                                                               |                   |                 |   |   |   |   |   |   |                 |   |  |      |              |
| How satisfied are you with                                                                                                |                   |                 |   |   |   |   |   |   |                 |   |  |      |              |
| 092 Your position?                                                                                                        | 7                 |                 |   |   |   |   |   |   |                 | N |  | 5.5  | 1.1          |
| 093 Your salary?                                                                                                          | 6                 |                 |   |   |   |   |   |   |                 | N |  | 5.2  | .5           |
| 094 Your employee benefits?                                                                                               | 5                 |                 |   |   |   |   | N |   |                 |   |  | 4.2  | 1.1          |
| 095 Your opportunities for personal growth at this institution?                                                           | 6                 |                 |   |   |   |   |   | N |                 |   |  | 5.0  | 2.0          |
| 096 Your relationship with those you work with?                                                                           | 6                 |                 |   |   |   |   |   | N |                 |   |  | 4.6  | 1.8          |
| Index Total                                                                                                               | 6                 |                 |   |   |   |   |   | N |                 |   |  | 4.9  | 1.6          |

## 5. ACTION PLANNING

The action planning process starts shortly after completion of the needs assessment survey, when analyses of the survey data become available. Reports are prepared for each participating work group. Summary reports of institution-wide survey data are also prepared.

Action planning is a series of activities undertaken by the Institute Staff, the coordinator and task force members at the participating college or university, and managers of work groups included in the needs assessment survey.

The action planning process is summarized in Figure 9. Responsibilities of the institution's coordinator and task force members, and institutional managers are as follows:

The Institute's responsibilities during the action planning phase start with training sessions to familiarize task force members with their responsibilities during action planning (1.1 on Figure 9). Included are interpretation of survey data, conduct of survey feedback meetings and continuation of the task force team building begun in earlier meetings.

Survey data sets (1.2) include survey results and interpretative material. A package is prepared for the manager of each participating work group. Survey reports of institution-wide data are also prepared; e.g. all managers, all faculty, all students. These "all" reports are useful for work groups to use for comparative purposes.

Institutional summary data and their own work group reports, are delivered and discussed with the President, Vice Presidents, and task force members (1.3, 2.1). These meetings start the survey feedback process, raise potential areas for further discussion in follow-up meetings, and begin to identify opportunities for organizational improvement.

After task force members feel they have sufficient understanding of overall survey results, they assume responsibility for distributing survey reports to work group managers. This includes meeting with groups of managers to discuss institution-wide data, and use of the work group's survey report in the overall action planning process. Survey data packages for each work group are distributed to institutional managers at these meetings (1.4, 2.2, 3.1). Work group reports are confidential and are not to be previewed by the task force.

Each work group manager also receives a Manager's Handbook to assist them with action planning. This Handbook includes procedures for analyzing and using the survey reports, conducting feedback meetings, and preparing the work group's action plan report to the task force.



# Management Development and Training Program for Colleges and Universities Phase III: Planning

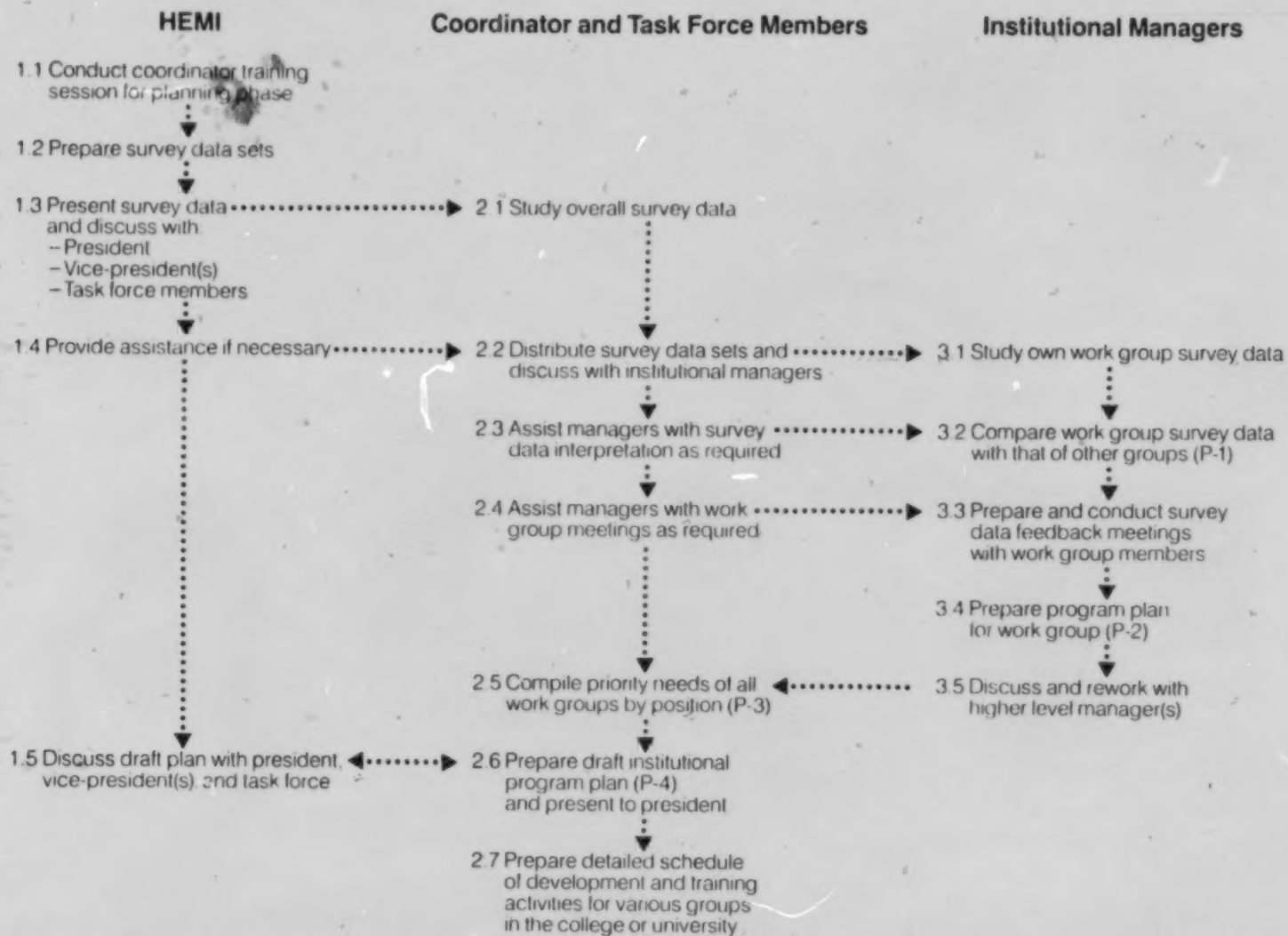


Figure 9.

Work group managers have a critical task to perform in action planning. Their role is important for the group's discussion of survey results, and identification of needed development and training actions and priorities.

After the survey reports have been distributed to work group managers, task force members may need to be available to assist a few managers with survey data interpretation; and preparations for discussing possible implications for training and development with work group members (2.3). The initiative for assistance should come from the manager or the work group. An effective way to start analyzing work group data is to compare the work group's data with other groups (3.2).

Once managers have had an opportunity to compare and analyze their own survey data, they should prepare and conduct one or more survey data feedback meetings with all members of the work group (3.3). These meetings involve discussing the survey data, and their implications, with work group members. The intended outcome of the survey feedback meetings is work group agreements on needs, goals, priorities, and "next steps".

Work group members will expect to share survey results made available to work group managers. A few managers may feel uncomfortable in survey feedback meetings. Task force members may be asked to provide assistance in conducting feedback meetings (2.4). Once again the initiative for such assistance should come from the work group manager.

After one or more survey feedback meetings, the manager and group members should summarize their development and training priorities as an Action Plan for the work group (3.4).

The work group's action plan is prepared for the task force, after discussion with higher management if called for (3.5).

The task force is responsible for compiling action plans received from work groups into a comprehensive statement of institutional needs (2.5).

The task force drafts a development and training plan for the institution on the basis of an overall compilation of work group action plan priorities. This plan is presented to the President and the Institute coordinator (1.5, 2.6).

After this institutional improvement action plan has been approved within the institution, the task force prepares a schedule of development and training activities to be offered at the institution (2.7). Resource needs and time implications are particularly important. This is the first step in program implementation.

## 6. IMPLEMENTATION

Program implementation, undertaking management development and training activities, is based on:

- 1) Identification of needs and placing them in priority order. The needs assessment completed in Phase 2 and action planning in Phase 3 accomplish this.
- 2) Use of the institutional improvement action plan developed in Phase 3 as the basis for selecting appropriate development and training activities.
- 3) Scheduling training activities, with appropriate regard for the institution's training coordination resources, management time available for training activities, related development activities, and budget support.

Development and training activities may occur in three settings:

- work groups
- training groups of individuals from two or more work groups
- individuals engaging in self study.

The institution's detailed implementation schedule includes decisions on preferred training settings, who is to participate in what type of training, when, where, and all other information needed to undertake and schedule development and training activities.

### 6.1 Managers' Responsibility

The Institute believes that each manager is responsible for the development and training of the people for whom they are responsible.

The Institute's modular training system has been designed to enable work group managers, or members, to act as training leaders on their own campuses. Managers thereby become directly involved with the development and training of the persons in their own work groups.

### 6.2 Modular Training System Characteristics

The modular training program is outlined in Figure 10. This Figure shows the constituent elements of higher education management

Figure 10.



## Higher Education Management:



### Tasks

- 1.1 Managing
- 1.2 Leading
- 1.3 Motivating
- 1.4 Communicating
- 1.5 Team Building
- 1.6 Decision Making



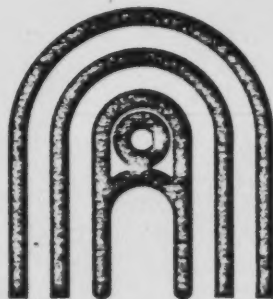
### Processes

- 2.1 Planning
- 2.2 Budgeting
- 2.3 Organizing
- 2.4 Marketing
- 2.5 Evaluating



### Activities

- 3.1 Instruction
- 3.2 Research
- 3.3 Public Service
- 3.4 Academic Support
- 3.5 Student Services
- 3.6 Institutional Support
- 3.7 Independent Operations



### Skills

- 4.1 Managing Time
- 4.2 Conducting Meetings
- 4.3 Analyzing Information
- 4.4 Negotiating
- 4.5 Career Planning

tasks, processes, activities, and skills. Modules to be included in the HEMI Program are listed in Appendix E.

Each module typically contains a Leader's Guide and a videotape cassette. The Guide contains all information necessary for a leader to present the module, including participant handout materials. The videotape presents key concepts. This arrangement eliminates the need for training leaders to be subject matter experts. Some videotapes also contain case studies, trigger films, or dramatized vignettes.

The Institute's modular management and training system is:

- Responsive, implementing work group priorities reported in the group's action plan.
- Cost effective. While module development costs are quite high, the cost of making modular training available to many institutions is extremely low, compared to approaches requiring the use of outside experts as trainers, or moving staff members to off-campus locations.
- Quality controlled. Experienced professionals have been employed by HEMI to prepare the training modules, helping to assure high quality.
- Flexible and convenient. Work groups, training groups or individuals can use modular materials at times and in settings convenient to them. The modules include conceptual linkages. They reinforce one another and build key management themes.
- Integrated with managers' operating concerns. On campus, in-service, ongoing training activities help to integrate training activities with day-to-day management and institutional operating concerns.
- A basis for work group team building. Work groups that schedule part of their meeting time, or hold special meetings, for training purposes strengthen their functioning by giving attention to improvement opportunities they have identified for themselves.

This modular training system incorporates concepts from the field of continuing adult professional education. To the Institute's knowledge it is the only comprehensive system designed especially for use by colleges and universities.

## 7. EVALUATION OF PROGRAM EFFECTIVENESS

While evaluation is the last phase of the Program to be discussed, it actually starts quite early in the Program and takes place at several points.

1) Work group members, managers, task force members, coordinators, and executive officers in participating institutions will be asked to evaluate their participation in the Program and their satisfaction with it. This formative evaluation activity will be the major basis for making program improvements.

2) The immediate effectiveness of training activity will be evaluated to provide assessment data on the modules for the institution, and to inform future users. Each training session participant will be requested to anonymously complete an evaluation form. Evaluation summaries for each training activity will be reported to the institution. Evaluation information will also be included in the Program Catalog to assist potential module users. This module evaluation information will also assist HEMI to improve the training materials and the methods of their use.

3) Survey-guided needs assessment has the advantage of creating an adaptive and reactive mechanism for re-assessing the extent to which development and training activities affect organizational functioning, including work group functioning. When the survey questionnaires are re-administered after 20 to 30 months, the institution can determine the extent to which planned improvements in organizational functioning have been achieved, using data on the institutional outcome variables and other evaluation measures.

8. USING HEMI'S MANAGEMENT DEVELOPMENT AND TRAINING PROGRAM

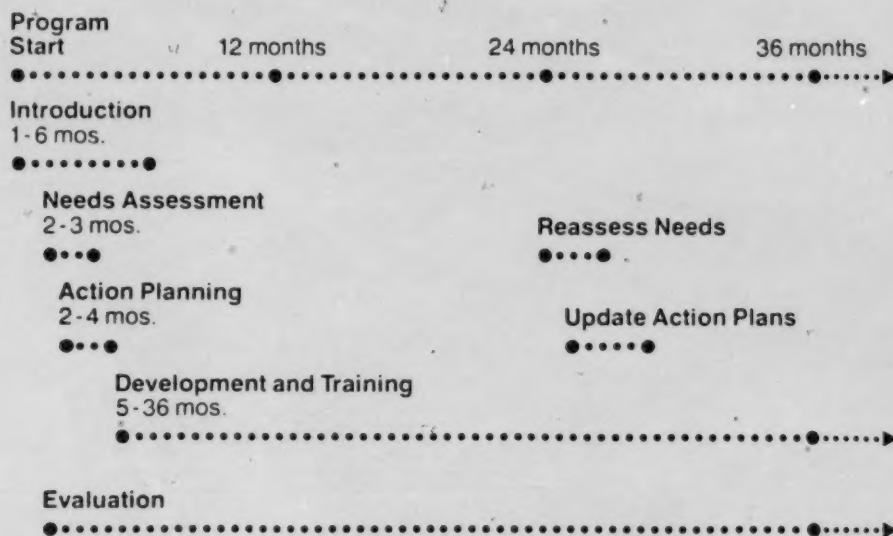
Institutional commitment is needed to participate in the Program; including an awareness that organizational improvement is needed, and that management development and training can help accomplish this. The president, the executive officers, and the president's council must determine that organizational improvement is a high priority and be willing to give strong and public support. The institution is asked to appoint a task force of 3 to 8 members per campus to administer the Program; and to make available managers' time and effort.

The Program is designed to cover a three year period, and to be an ongoing activity for continuous institutional improvement.

Figure 11.



## Program Time Line



Each participating institution, and each campus of multi-campus institutions, receives:

- Task force and manager training
- Copies of all program materials
- Staff consultation from HEMI
- All currently available training modules
- All subsequent modules
- Invitations to all HEMI sponsored meetings and seminars

These resources are discussed in more detail in the Program Participation Agreement, Appendix B. Modules are listed in Appendix E.

### 8.1 Program Dissemination

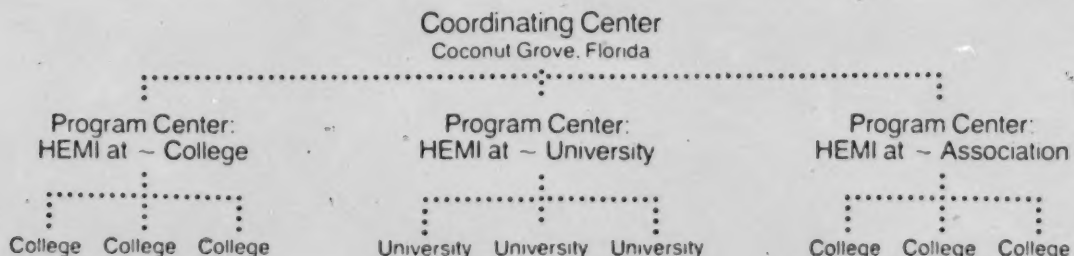
The Higher Education Management Institute is organized with its Coordinating Center in Coconut Grove, Florida; and a number of program centers geographically dispersed at colleges, universities, and higher education associations. The Program Centers have been established to make the Program widely available. See Figure 12.

The Coordinating Center has primary responsibility for overall management of the Program, and continual updating and improvement of Program materials, procedures, and modules. It will also provide the data processing necessary for needs assessment, preparing survey reports, and module evaluation.

The Program Centers will be directed and staffed by individuals who have participated in the Program, bringing the experience and perspective gained in working and implementing the Program to new participants. It is expected that five or six program centers will be operating by January 31, 1979.

Figure 12.

### Higher Education Management Institute



## 9. SUMMARY

The Management Development and Training Program is:

- designed to accomplish organizational improvement
- customized to higher education needs
- developed from pilot testing in 23 institutions
- economical, development costs funded by the Exxon Education Foundation
- available through HEMI Program Centers

The Program has been designed to accomplish organizational improvement. That is a challenging undertaking for any institution, its president, and its executive officers. The organization has to open itself up, look at how it is functioning, and make specific plans for improving its performance.

If the institution is ready to undertake such a Program, it is available from HEMI at relatively low cost because the Exxon Education Foundation has paid all the development costs. The institution's cost is only a fraction of what would be spent to develop its own program using outside resources.

### 9.1 Management in Colleges and Universities

Every college and university, like every other organization in the society, is managed, whether or not that label is applied. The question is whether or not the institution is managed well.

If it is managed well it will have directed its vision and resources toward the greatest results it can achieve -- for that is what management of any organization is all about.

The Management Development and Training Program for Colleges and Universities, developed by the Higher Education Management Institute with funding by the Exxon Education Foundation, has been created to help institutional leaders accomplish this objective.

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PROGRAM PARTICIPATION AGREEMENT

Between

Higher Education Management Institute, Inc. (HEMI)  
A non profit, tax exempt 501 (c) (3), public foundation,  
Incorporated in the District of Columbia, with principal offices at  
2699 South Bayshore Drive, Suite 1000A  
Coconut Grove, Florida 33133

and

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(the Institution)

HEMI agrees to provide services related to, and the Institution agrees to participate in, HEMI's Management Development and Training Program for Colleges and Universities. The services described below will be provided for a period of \_\_\_\_\_ years, beginning \_\_\_\_\_, 19\_\_\_\_. These services will be provided through various entities within HEMI, including its coordinating center, program centers, and authorized representative organizations and individuals.

1. HEMI will provide to the Institution during the term of this agreement:
  - 1.1 Copies of all manuals, handbooks, guides, bulletins and other assisting materials as detailed in Attachment A with all revisions and additions, in sufficient quantity for all users of each item.
  - 1.2 All materials and services required in order to carry out two (2) complete needs assessment surveys, one at the beginning of the first year, the second during the third year of the contractual period at a time to be determined by the Institution, including:
    - . Sufficient copies of all survey instruments for all governing board members, all presidents/chancellors, all vice presidents/vice chancellors, all deans, all department/division heads, all non instructional managers, and agreed upon sample numbers of faculty, non instructional staff and students.

- Data preparation, including optical scanning of data and creation of a computer-readable file.
  - Computer based editing, including the production of edit reports.
  - A survey analysis report for each work group, position type and needed combinations thereof.
  - Twenty five (25) comparative reports from the HEMI data bank representing aggregate groupings of positions and institutions of interest to the Institution.
  - Ten (10) special analyses from the data bank, or of the Institution's own data.
- 1.3 One copy of each of the modules listed in Attachment B,<sup>1</sup> including all associated audio visual, leader guide and participant materials.
- 1.4 Twenty four (24) days of on-site assistance from qualified HEMI staff for the following activities:
- Program Introduction
  - Task Force Training
  - Survey Organization
  - Survey Feedback Assistance
  - Program Action Planning
  - Leader Training
  - Assistance in Training Activities
- 1.5 Six (6) days in consultation with institutional representatives on program-related activities in HEMI offices or via the telephone.
2. The Institution agrees to:
- 2.1 Pay the sum of \$ \_\_\_\_\_ to HEMI for program participation over the \_\_\_\_ year period. This sum shall be paid one-half upon the signing of this Agreement, one-quarter on the first anniversary date of the Agreement if for longer than one year, and the remaining one-quarter on the second anniversary date of the Agreement.
- 2.2 Appoint a task force of from three to eight Institution staff members to take responsibility for operating the program and accomplishing training and other program related activities.

---

<sup>1</sup> See Appendix E.

- 2.3 Make available data collected at the Institution in needs assessment surveys for general research and comparative analysis by other institutions, subject to the terms of HEMI's policy on individual anonymity and data confidentiality, Attachment D.<sup>2</sup>
- 2.4 Make available assessment data collected at the Institution on modules used, subject to the confidentiality of individual assessments, for the purpose of providing continuous information about module effectiveness for use by other institutions and the Institute.
- 2.5 Abide by the terms and conditions of this Agreement and of the appended License Agreement, Attachment C.

3. Settlement of controversies or claims

Any controversy or claim arising out of or relating to this Agreement, or any breach thereof, shall be settled in accordance with the rules of the American Arbitration Association, and any such arbitration shall be held in New York City or such other place as the parties may agree. Judgment upon any award may be entered in any court having jurisdiction thereof.

Agreement made this \_\_\_\_\_ day of \_\_\_\_\_, at

HIGHER EDUCATION MANAGEMENT INSTITUTE

By: \_\_\_\_\_  
\_\_\_\_\_ Witness

(Institution)

By: \_\_\_\_\_  
(Name and Title) \_\_\_\_\_ Witness

4/11/78

<sup>2</sup>See Appendix D.

## ATTACHMENT A

### PROGRAM MATERIALS

Program Handbook

Executive Handbook and accompanying  
Program Overview videotape

Task Force Handbook

Manager's Handbook

Program Reference Manuals

Program Catalog (of training modules)

Program Bulletins

## ATTACHMENT C

### LICENSE AGREEMENT

1. **LICENSE.** Higher Education Management Institute (HEMI) does hereby grant to the undersigned licensee (College/University) a nontransferable and nonexclusive license to use the copyrighted survey and training materials hereafter, from time to time, furnished to the College/University (the Licensed Materials) until expiration of the HEMI's copyrights with respect thereto.

2. **LICENSE FEE.** In full and complete consideration for the license granted above, the College/University agrees to pay to HEMI a one time charge applicable to the list of items of the Licensed Materials furnished to Licensee (see Items 1.3 and 2.5 of the Agreement).

3. **EXCLUSIVE USE.** The College/University hereby recognizes the proprietary and copyright interest of HEMI in all survey materials, all audio visual materials, leader guides, participant guides and other materials at any time licensed hereunder, and Licensee agrees that it will not reproduce, copy, modify, alter, sell lease, rent, lend or permit the use of such materials by others, it being understood that such materials are being provided to the College/University for use in in-house training programs. As such they shall not be used for any other purpose such as, but not restricted to, teaching students of the institution, extension courses, private consulting or by affiliated organizations not specifically included in this contract. The College/University further acknowledges the exclusive right of HEMI in and to any trademarks and copyrights relating to any audio visual material, leader guides and participant guides, and other course materials, and in and to all programs and parts thereof, including, without limitation, all bulletins, advertising material, procedures, forms, devices, copyrights, service marks, trademarks, trade names and slogans now or hereafter from time to time used as part of, or in connection with, or applicable to such training programs.

4. **DEFAULT.** The College/University's default under any of the provisions hereof (including, but not limited to, the provision of paragraph 3 above) shall entitle HEMI, as its option, to take possession of the Licensed Materials with or without legal process, without any rebate or refund to the College/University. Such repossession shall be in addition to Owner's rights to damages for such default, or any other rights or remedies provided by law.

5. GENERAL. This agreement shall be governed by the laws of the State of Florida. There are no understandings, agreements, representations or warranties, expressed or implied, not specified herein, respecting this Agreement or the Licensed Materials. This Agreement shall apply to any items of the Licensed Materials furnished to the College/University at any time now or hereafter until amended or terminated by the parties.

Higher Education Management Institute

College/University

By \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Title

\_\_\_\_\_

Title

\_\_\_\_\_

Date

\_\_\_\_\_

Date

Higher Education Management Institute  
2699 South Bayshore Drive  
Suite 1000A  
Coconut Grove, Florida 33133



Management Development  
and Training Program for  
Colleges and Universities

ORGANIZATION CLIMATE  
(Mean Scores on a Scale of 1-8)

As Perceived by Department Heads

|                 | <u>Independent<br/>Coll. &amp; Univ.</u> | <u>Public<br/>Coll. &amp; Univ.</u> | <u>Community<br/>Colleges</u> |
|-----------------|------------------------------------------|-------------------------------------|-------------------------------|
| Teamwork        | 4.6                                      | 3.8                                 | 4.2                           |
| Communication   | 5.1                                      | 4.7                                 | 4.3                           |
| Decision Making | 5.0                                      | 4.5                                 | 4.2                           |
| Mean            | 4.7                                      | 4.3                                 | 4.2                           |

As Perceived by Deans

|                 |     |     |     |
|-----------------|-----|-----|-----|
| Teamwork        | 4.4 | 4.4 | 4.2 |
| Communication   | 4.7 | 5.2 | 4.3 |
| Decision Making | 4.6 | 5.1 | 4.5 |
| Mean            | 4.5 | 4.9 | 4.3 |



Management Development  
and Training Program for  
Colleges and Universities

JOB SATISFACTION

(Mean Scores on a Scale of 1-8)

|                     | <u>Position</u> | <u>Salary</u> | <u>Benefits</u> | <u>Career<br/>Advance.</u> | <u>Colleague<br/>Relations</u> | <u>Total</u> |
|---------------------|-----------------|---------------|-----------------|----------------------------|--------------------------------|--------------|
| <u>INDEPENDENTS</u> |                 |               |                 |                            |                                |              |
| Deans               | 6.7             | 5.9           | 5.6             | 5.1                        | 6.4                            | 5.9          |
| Department Heads    | 6.3             | 5.1           | 5.5             | 5.4                        | 6.2                            | 5.7          |
| Faculty             | 5.7             | 4.4           | 5.1             | 4.5                        | 6.1                            | 5.1          |
| Average             | 6.2             | 5.1           | 5.4             | 5.0                        | 6.2                            | 5.4          |
| <u>PUBLIC</u>       |                 |               |                 |                            |                                |              |
| Deans               | 6.1             | 5.0           | 5.3             | 4.7                        | 6.1                            | 5.4          |
| Department Heads    | 5.6             | 4.5           | 5.0             | 4.6                        | 6.0                            | 5.1          |
| Faculty             | 5.3             | 3.8           | 4.4             | 4.2                        | 5.7                            | 4.6          |
| Average             | 5.7             | 4.4           | 4.9             | 4.5                        | 5.9                            | 5.0          |
| <u>COMMUNITY</u>    |                 |               |                 |                            |                                |              |
| Deans               | 5.3             | 4.9           | 5.2             | 4.3                        | 6.0                            | 5.1          |
| Department Heads    | 5.7             | 4.3           | 4.8             | 4.2                        | 6.3                            | 5.1          |
| Faculty             | 5.7             | 4.4           | 5.1             | 4.5                        | 6.1                            | 5.1          |
| Average             | 5.6             | 4.5           | 5.0             | 4.3                        | 6.1                            | 5.1          |



Management Development  
and Training Program for  
Colleges and Universities

FACULTY JOB SATISFACTION  
CORRELATIONS WITH:

|                                                     |     |
|-----------------------------------------------------|-----|
| PARTICIPATION IN DECISION MAKING                    | .75 |
| ADEQUACY OF FACILITIES                              | .64 |
| FACULTY INFLUENCE ON PLANNING<br>AND BUDGETING      | .60 |
| DEPARTMENTAL GOAL CLARITY                           | .59 |
| COLLEGIAL RELATIONS IN DEPARTMENT                   | .55 |
| INSTITUTIONAL RESPONSIVENESS<br>TO NEEDS OF FACULTY | .53 |
| INSTITUTIONAL GOAL CLARITY                          | .50 |
| SATISFACTION WITH TASK<br>RELATED STUDENT SERVICES  | .49 |
| ADMINISTRATION'S EFFICIENCY                         | .46 |



Management Development  
and Training Program for  
Colleges and Universities

COMMUNITY COLLEGES: INFLUENCE

HOW MUCH INFLUENCE DO THE FOLLOWING HAVE ON THE EDUCATIONAL  
ACTIVITIES OF YOUR COLLEGE:

|                    | <u>PRES.</u> | <u>VP's</u> | <u>DEANS</u> | <u>DEPT.<br/>HDS.</u> | <u>FAC.</u> | <u>STUD.</u> |
|--------------------|--------------|-------------|--------------|-----------------------|-------------|--------------|
| <u>RESPONDENTS</u> |              |             |              |                       |             |              |
| PRESIDENTS         | <u>6.5</u>   | <u>6.5</u>  | <u>6.5</u>   | ---                   | 5.9         | <u>4.6</u>   |
| VICE-PRES.         | <u>6.3</u>   | <u>6.3</u>  | 6.0          | 5.7                   | 5.6         | <u>3.9</u>   |
| DEANS              | 5.7          | <u>5.8</u>  | 5.5          | 5.0                   | 4.6         | <u>4.0</u>   |
| DEPT. HEADS        | <u>5.9</u>   | 5.5         | 5.4          | 5.3                   | 5.3         | <u>4.3</u>   |
| FACULTY            | <u>5.5</u>   | 5.1         | 5.2          | 5.0                   | 4.7         | <u>4.3</u>   |
| STUDENTS           | <u>4.8</u>   | 4.7         | 4.6          | 4.6                   | 4.5         | <u>4.1</u>   |



POLICY STATEMENTS CONCERNING SURVEY-GUIDED  
NEEDS ASSESSMENT DATA AND REPORTS

---

1. POLICY OBJECTIVES

The objective of this policy is to establish standards for the Higher Education Management Institute (HEMI) staff, consultants, contractors and participating institutions, as a means to insure responsible and ethical handling of survey data and information obtained in the course of survey-guided assessment of management development and training needs.

The Institute's standards are in accord with those generally accepted by social science investigators. (See References below). The informed consent of survey participants, anonymity of individual responses, and confidentiality of grouped data are fundamental concerns.

2. POLICY STATEMENTS

2.1 Ownership of Survey Data and Compiled Information

Survey data are the property of each work group within the college or university organization surveyed. Data aggregated for the organization as a whole belongs to that organization. (Organizational Development. . ., 1976, p.2)

2.2 Storage of Survey Data and Compiled Information

Institutional survey data will be maintained in a higher education management development data bank. This data bank is now at the Institute's Coordinating Center in Coconut Grove, Florida. The Institute may move the data bank to another or additional computing centers with notice to each institution whose data is involved.

## 2.3 Disclosure of Survey Data and Compiled Information

|       | <u>Survey Data</u>                                                                                                                                                                                                               | <u>Survey Data Disclosure<br/>and Special Conditions</u>                                                                                                                                                                                |
|-------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 2.3.1 | For any individual person                                                                                                                                                                                                        | No disclosure                                                                                                                                                                                                                           |
| 2.3.2 | Compiled survey data for any work group with two members surveyed.                                                                                                                                                               | No disclosure                                                                                                                                                                                                                           |
| 2.3.3 | Compiled survey data for any work group with three members surveyed.                                                                                                                                                             | To work group leader after approval is given to the Task Force by all three individuals.                                                                                                                                                |
| 2.3.4 | Compiled survey data for any work group with four or more members                                                                                                                                                                | To work group leader (manager): Survey report and related materials placed in sealed envelope by HEMI, for delivery by the Task Force.                                                                                                  |
| 2.3.5 | Combined survey results from <u>two or more work groups</u> , headed by managers reporting to a higher level manager.                                                                                                            | Higher level manager                                                                                                                                                                                                                    |
| 2.3.6 | Organizational units or divisions, e.g. academic affairs, business affairs, student affairs.                                                                                                                                     | Unit or division head, following 2.3.3, 2.3.4, or 2.3.5 as pertinent.                                                                                                                                                                   |
| 2.3.7 | The college or university as a whole, its constituent units, divisions or lower-level work groups, upon request to HEMI or its subcontractors as approved by HEMI; or for the whole or parts of any three or fewer institutions. | Social scientists for research purposes, with the data identified by institution, as a whole, and/or for any constituent parts thereof; <u>only</u> upon institution's written permission for disclosure.                               |
| 2.3.8 | Institutional data for two or more institutions, aggregated by type of institution and/or constituent organizational units.                                                                                                      | Social scientists; government agencies; professional associations; similar inquiries: as requested of HEMI, within resource limitations, and for purposes not in conflict with generally accepted uses of social science research data. |

### 3. REFERENCES

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Professional Conduct.

... Ethical Principles in the Conduct of Research with Human Participants.  
Washington, D.C.: American Psychological Association, 1973.  
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NCHEMS, 1972.

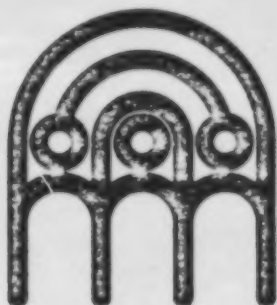
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Conduct and Good Practice for Holders of the Certificate in  
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Inc., n.d.



## Higher Education Management:



### Tasks

- 1.1 Managing
- 1.2 Leading
- 1.3 Motivating
- 1.4 Communicating
- 1.5 Team Building
- 1.6 Decision Making



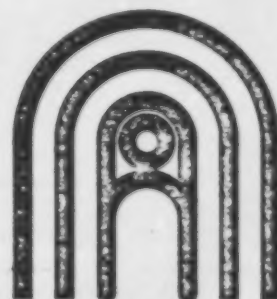
### Processes

- 2.1 Planning
- 2.2 Budgeting
- 2.3 Organizing
- 2.4 Marketing
- 2.5 Evaluating



### Activities

- 3.1 Instruction
- 3.2 Research
- 3.3 Public Service
- 3.4 Academic Support
- 3.5 Student Services
- 3.6 Institutional Support
- 3.7 Independent Operations



### Skills

- 4.1 Managing Time
- 4.2 Conducting Meetings
- 4.3 Analyzing Information
- 4.4 Negotiating
- 4.5 Career Planning

PROGRAM MODULES  
TITLES AND MAJOR TOPICS

1. TASKS

1.1 Managing

1.1.1 Management Concepts

- Basic management concepts
- The study of management
- Understanding management values
- Management and the characteristics of higher education
- Management tasks, processes, activities and skills

1.1.2 Assessing Managerial Functioning

- Theory of measuring organizational performance
- Development of survey guided needs assessment procedures
- The survey instruments
- Interpreting the results
- Developing a plan for action

1.2 Leading

1.2.1 Leading - 1

1.2.2 Leading - 2

- Managers as leaders
- Power and influence
- Leader expectations of others
- Effective leadership practices
- Appropriate styles for different problem situations

1.2.3 Creative Leadership and Change

- Inhibitors to creative thinking
- Non-linear thinking
- A problem solving approach to creativity and change
- Implementing change

1.3 Motivating

1.3.1 Motivating - 1

1.3.2 Motivating - 2

- Human needs and wants as motivators
- The role of personality, environment, and human development in motivation

### 1.3.3 Organizational Climate

- Determinants of a positive work climate
- Relationship of climate to achieving results
- How to assess the climate
- Building a supportive climate
- Reward systems and use of high expectations
- Organizational motivation versus individual motivation
- A conceptual model for the manager's role in motivation

## 1.4 Communicating

### 1.4.1 The Communication Process

- The benefits of open communications
- Personalization
- A conceptual model for the communication process
- Receiving and sending messages effectively

### 1.4.2 Feedback

- The importance of feedback in an organization
- Basic principles of feedback
- Giving and receiving feedback
- Sustaining feedback
- Emergency measures
- Emotional reactions to feedback

### 1.4.3 Discussion Skills

- Active listening
- Complaints and grievances
- Improving performance
- Interviewing
- Career counseling
- Work planning and assignments
- Personal counseling

### 1.4.4 Informal and Formal Communication

- Definition of informal and formal communication
- Examining channels of communication
- Using formal and informal channels effectively

### 1.4.5 Written and Oral Presentations

- Characteristics of effective presentations
- Presenting a clear message
- Gaining and holding attention
- Effective use of format and graphics

## 1.5 Team Building

### 1.5.1 Team Building - 1

### 1.5.2 Team Building - 2

- Stages of group development
- A conceptual model for work group development
- Inventory of work group development concepts and practices
- Developing confidence and trust
- Assessment of work group development

### 1.5.3 Managing Conflict

- Causes of conflict
- Role of the mediator
- Defining issues, stances and what's at stake
- Building toward a win-win situation

### 1.5.4 Coaching and Counseling

- Basic techniques
- Responsibility of the manager
- Identifying individual needs

## 1.6 Decision Making

### 1.6.1 Principles of Decision Making

- Importance of decision making in an organization
- Rational analysis of decision making alternatives
- Classifying decisions
- A practical systematic model to follow in making decisions

### 1.6.2 Analysis for Decision Making

- Decisions under uncertainty
- Defining values
- Using decision trees
- Art and science of probability assessment
- Analytical techniques



# Management Development and Training Program for Colleges and Universities

## SCHEDULE

### 1.1.1 MANAGEMENT CONCEPTS

ITEM 1

| UNIT | TOPICS                                                 | ACTIVITIES                                                                                                                                                              | TIME |      |
|------|--------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|------|
|      |                                                        |                                                                                                                                                                         | MIN. | CUM. |
| 1    | Management Values                                      | -Introduction (Items 1 and 2)<br>-Videotape presentation<br>-Discussion (Item 3)<br>-Exercise: Management Values (Item 4)                                               |      |      |
| 2    | The Study of Management                                | -Videotape presentation<br>-Discussion (Item 5)                                                                                                                         |      |      |
| 3    | Management and the Characteristics of Higher Education | -Videotape presentation<br>-Discussion (Item 6)                                                                                                                         |      |      |
| 4    | Management Processes                                   | -Exercise: Management Activities and Processes (Items 7, 8 and 9)                                                                                                       |      |      |
| 5    | Management Development                                 | -Videotape presentation<br>-Discussion (Item 10)<br>-HEMI Needs Assessment Survey (Item 11)<br>-List of Modules Currently Available (Item 12)<br>-Action Plan (Item 13) |      |      |
| 6    | Evaluation                                             | -Participant's Evaluation (Item 14)                                                                                                                                     |      |      |



## Management Development and Training Program for Colleges and Universities

### 1.1.1 MANAGEMENT CONCEPTS

ITEM 2

#### OBJECTIVES

Upon completion of this module, you should be better able to:

- understand and explain your own values about management
- discuss some of the major contributions of students of management
- examine the role of management in higher education
- relate effective management practices to your own situation
- explain and differentiate between the basic processes of management
- apply the knowledge and skills gained during the session to your institutional responsibilities
- provide an overview of all Modules in the Management Development and Training Program and the management concepts upon which they are based.



## UNIT 1: MANAGEMENT

Management is a vital function of all institutions. Peter Drucker has said, management is "directing vision and resources toward the greatest results;" it is "working through people to get the right things done well and on time."

Management is a function that we all perform some of the time, every day of our lives. Management involves the tasks, skills, processes, and activities that are necessary to achieve results for the institutions we work in.



## MANAGEMENT VALUES

ITEM 4

Objective: To help you understand and clarify your own values about management.

Instructions: Working individually, please rank order the following ten statements. The statement you most support should be ranked #1; continue through to the statement you least support, ranking it #10.

Next, please develop a team consensus, ranking the top three and the bottom three statements. Appoint a spokesperson to present your team consensus to the total group.

- 7 1. Responsibilities for each position should be clearly defined, but flexible enough to permit individuals to try out new activities.
- 1 2. Goals and objectives should be established for both the short run and the long run.
- 6 3. Methods of achieving goals and objectives should be left to the work group responsible for their achievement.
- 3 4. Individuals and work groups should get as much information as they would like regarding what is going on.
- 9 5. Managers should supervise people closely, and maintain a high level of control over what is going on.
- 5 6. Decisions should be made in consultation with the individuals or groups who are affected.
- 10 7. Accountability for all aspects of an operation should reside in the highest position (president/chancellor).
- 2 8. Priorities for important current and future goals and objectives should be integrated across the entire organization.
- 4 9. Teamwork and communication in work groups are as important as the effective use of modern methods and technology.
- 8 10. Explicit performance measures are necessary to evaluate individual and work group performance.



Research in the field of management has indicated that certain practices lead to the achievement of good results. The Higher Education Management Institute has selected a number of these practices, and built the modular training system to encourage those activities which lead to good results. These themes appear throughout all of the modules:

Open Communication

Finding time to listen to people who report to you. Providing them with accurate and complete information. Getting new information out as quickly as practicable. Communicating openly and frankly, and expecting others to communicate the same way. Communicating easily when things are going well.

Teamwork

Meeting with your work group to exchange information of common interest. Providing opportunities for the group to work together to encourage teamwork. Discussing plans and problems with the group to obtain the group's input. Getting all group members involved in what's going on. Helping the group work effectively by coordinating their efforts.

Participation In

Seeking opinions, suggestions, and ideas of people in your work group. Being willing to make changes in practices based on input from them. Changing commitments only after a discussion with people who will be affected. Allowing people to use fully their skills and abilities in their work. Considering input from members of your work group about job content and deadlines when assigning work.

Encouragement of Initiative

Allowing people considerable freedom in how they tackle a job. Using the ideas of people in your work group. Handling mistakes in a way which allows people to learn and grow. Expecting people to learn and grow. Expecting people to get out good work on time without close checking. Delegating, then expecting people to go ahead, use good judgement, and make decisions.

## EFFECTIVE MANAGEMENT PRACTICES (Cont.)

ITEM 5.1

### Mutual Support

Looking out for the interests and concerns of people in the organization. Backing up people in their actions. Giving recognition for good performance. Minimizing frustrations about job content, scheduling, or resource availability. Moving quickly and effectively when problems arise.

### High Standards

Involving people in developing standards, goals, and timetables. Providing a personal example of top-notch work performance. Working toward upgrading performance standards whenever there is an opportunity. Making standards important by tracking results with people. Using standards to evaluate work being turned out.

### Use of Objectives

Monitoring the use of resources and the level of controllable costs. Establishing measurable and realistic work targets and deadlines. Adjusting resources when performance measures show discrepancies. Expecting people to follow procedures and rules. Maintaining an interest in progress toward longer term objectives or goals.

### Performance Evaluation

Passing along day-to-day reactions to work being done on a timely basis. Coaching and training people to improve performance. Judging performance based on things related to the results being achieved. Conducting periodic and constructive performance review discussions. Passing along reports of results so that people can make any needed corrections themselves.



### UNIT 3: MANAGEMENT AND THE CHARACTERISTICS OF HIGHER EDUCATION

There are a number of special organizational and environmental characteristics of higher education. Colleges and universities differ from businesses in that income is less directly related to performance. Nonprofit institutions need management to help sort out the different goals and objectives of the different constituencies which make up and support the organizations.

Higher Education values the tradition of a collegial decision making process. Management should strengthen widespread participation in decision making.

Colleges and universities don't have a clear-cut product or service. Educational institutions do not always precisely define their goals and objectives. Clarifying goals and objectives, making operating decisions based on common understandings, and evaluating results are all central to the management function. Management also involves communicating openly, developing mutual respect and relating individual goals and objectives to the goals and objectives of the organization.

Innovation is one of the central functions of management. Because colleges and universities are concerned with developing new ideas, creating new techniques, and advancing the frontiers of knowledge, they play a key role in the management of our entire society.

One of the basic principles of management is decentralization. Management research has shown that organizations are more effective when decisions are made at the lowest possible level and as far as appropriate from the center of the institution. Management principles, properly understood and applied, should help us resist pressures toward excessive formalization and centralization.



MANAGEMENT ACTIVITIES QUESTIONNAIRE  
INDIVIDUAL

ITEM 7

Purpose of the exercise: To relate your daily management activities to the different types of management processes.

Instructions: Step 1: What are the management activities that you perform in your job? List at least half a dozen of your daily tasks in the spaces provided below. Please work individually.

Examples:

- a. Interviewing and selecting new faculty or staff members.
- b. Conducting performance review interviews.
- c. Scheduling classes or other activities for my work group.  
Now list the activities which your job involves:

| Activities | Type of Management Process |
|------------|----------------------------|
| 1.         | j                          |
| 2.         |                            |
| 3.         |                            |
| 4.         |                            |
| 5.         |                            |
| 6.         |                            |
| 7.         |                            |
| 8.         |                            |

MANAGEMENT ACTIVITIES QUESTIONNAIRE--INDIVIDUAL (Cont.)

ITEM 7.1

| Activities | Type of Management Process |
|------------|----------------------------|
| 9.         |                            |
| 10.        |                            |

Step 2: After you have listed the activities, refer to Item 6, MANAGEMENT PROCESSES. Read through the definitions of the five Management Processes. Working individually, label each of the items on your Management Activities Questionnaire according to one of these management processes.



## MANAGEMENT PROCESSES

ITEM 8

- PLANNING Deciding what is to be done and when and how to do it. Planning is concerned with the future.
- BUDGETING Developing the link between the conceptual nature of planning and action in the operational world. Budgeting schedules resources and results to be obtained.
- ORGANIZING Combining people, services, materials, equipment, and money in the best way to get the job done as planned.
- MARKETING Identifying the constituencies that are served by the college or university and services offered to each. Marketing is also informing the institution's constituencies about the services designed for them.
- EVALUATING Interpreting and evaluating the performance and activities of the people who report to us by establishing standards and comparing performance against these standards.



## MANAGEMENT ACTIVITIES INVENTORY

ITEM 9

Purpose of the exercise: To relate common management activities in higher education to the different types of management processes.

Instructions:

Step 1: Read the list of management activities, and then refer to the five Management Processes described in Item 8. Working individually, categorize each item on the list according to one of these Management Processes. Enter your individual responses in Column 1.

Step 2: Share your individual classifications with other team members. Then, label each of the items on the Inventory according to one of the Management Processes by developing a group consensus. Refer to Item 8, Management Processes, as you work. When you have decided into which category each activity should be placed, enter group responses in Column 2.

| Activities                                                          | Suggested Management Process |          |
|---------------------------------------------------------------------|------------------------------|----------|
|                                                                     | Column 1                     | Column 2 |
| 1. Responding to requests for information                           |                              |          |
| 2. Allocating specific tasks among people in my group.              |                              |          |
| 3. Attending professional meetings to update my knowledge.          |                              |          |
| 4. Forecasting staff requirements for next four years.              |                              |          |
| 5. Setting long term goals for my group.                            |                              |          |
| 6. Analyzing educational needs and wants of students.               |                              |          |
| 7. Developing new programs or services to meet newly defined needs. |                              |          |
| 8. Teaching one or more courses.                                    |                              |          |

# MANAGEMENT ACTIVITIES INVENTORY (Cont.)

ITEM 9,1

| Activities                                                                                           | Suggested Management Process |          |
|------------------------------------------------------------------------------------------------------|------------------------------|----------|
|                                                                                                      | Column 1                     | Column 2 |
| 9. Monitoring performances of persons reporting to me.                                               |                              |          |
| 10. Determining resources and materials needed by my group for upcoming jobs.                        |                              |          |
| 11. Watching over costs and the use of materials in my group.                                        |                              |          |
| 12. Estimating needed expenditures for the operation of my group.                                    |                              |          |
| 13. Running down supplies and equipment for my group.                                                |                              |          |
| 14. Delegating responsibility and authority to people in my group.                                   |                              |          |
| 15. Writing funding proposals for research or special projects.                                      |                              |          |
| 16. Setting enrollment targets for future years.                                                     |                              |          |
| 17. Monitoring absences, lateness, and overtime in my group.                                         |                              |          |
| 18. Solving performance problems in my work group.                                                   |                              |          |
| 19. Informing my work group about expenditure constraints in the coming year.                        |                              |          |
| 20. Working on special projects using my personal expertise.                                         |                              |          |
| 21. Reviewing demographic and economic projections for the area served by the college or university. |                              |          |

# MANAGEMENT ACTIVITIES INVENTORY (Cont.)

ITEM 9,2

| Activities                                                              | Suggested Management Process |          |
|-------------------------------------------------------------------------|------------------------------|----------|
|                                                                         | Column 1                     | Column 2 |
| 22. Appearing before budget committees to justify proposed allocations. |                              |          |
| 23. Making presentations to community and other external groups.        |                              |          |
| 24. Establishing the standards of performance with my group.            |                              |          |



## Higher Education Management:

# 1

### Tasks

- 1.1 Managing
- 1.2 Leading
- 1.3 Motivating
- 1.4 Communicating
- 1.5 Team Building
- 1.6 Decision Making

# 2

### Processes

- 2.1 Planning
- 2.2 Budgeting
- 2.3 Organizing
- 2.4 Marketing
- 2.5 Evaluating

# 3

### Activities

- 3.1 Instruction
- 3.2 Research
- 3.3 Public Service
- 3.4 Academic Support
- 3.5 Student Services
- 3.6 Institutional Support
- 3.7 Independent Operations

# 4

### Skills

- 4.1 Managing Time
- 4.2 Conducting Meetings
- 4.3 Analyzing Information
- 4.4 Negotiating
- 4.5 Career Planning



NEEDS ASSESSMENT SURVEY DATA

The survey report groups questions into indexes. There is at least one index for each management function within Tasks, Processes and Activities. Following is a list of questions that relate most directly to this module (specific wording varies in the questionnaires):

INDEX

1.1.1 MANAGING (MANAGER)

- . To what extent does (your supervisor) establish measurable and realistic targets and deadlines?
- . To what extent does (your supervisor) delegate authority?
- . To what extent does (your supervisor) represent the interests of your (workgroup) effectively to other parts of the organization?
- . To what extent does (your supervisor) maintain high standards of performance?
- . To what extent should (your supervisor) maintain high standards of performance?

1.1.2 MANAGING (INSTITUTION)

- . To what extent does the top administration of this institution feel responsible for the achievement of educational excellence?
- . To what extent does the top administration of this institution display concern for the effective and efficient use of financial resources?
- . How much confidence and trust do you have in the top administration of this institution?



## LIST OF MODULES CURRENTLY AVAILABLE

ITEM 12

- 1.1.1 Management Concepts
- 1.3.1 Motivation 1
- 1.4.1 The Communication Process
- 1.4.2 Communication Feedback
- 1.5.2 Team Building 2
- 1.6.1 Principles of Decision Making
- 2.1.3 Individual Development Planning
- 2.5.3 Individual Progress Review
- 3.4.2 Managing Media Services
- 3.4.1 Managing Libraries
- 4.1.1 Time Management for Managers and Work Groups



## ACTION PLAN

ITEM 13

Definition of the problem, question, or situation: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Goal or Objective: \_\_\_\_\_

\_\_\_\_\_

Modules to Take

Target Date for  
each module



Management Development  
and Training Program for  
Colleges and Universities

ITEM 14

PARTICIPANT'S  
EVALUATION

Module  
Title \_\_\_\_\_

Date Used \_\_\_\_/\_\_\_\_/78

Name of Your Work Group \_\_\_\_\_ Code No. \_\_\_\_\_

Instructions:

Write in the name of the module, the date used, and the name of your work group. Fill in the Code No. if provided by the leader; otherwise leave blank.

Please answer each response scale question by marking one box at the right. Mark boxes as shown in the example below. If the question is not applicable to the module you used or to your situation please leave it blank. Write your responses to the comment questions (legibly please) on the back of this page.

Evaluation sheets will be returned to the Higher Education Management Institute for processing. The evaluation is anonymous; your ratings and comments will be summarized and used for improving the Program. Thank you for your help.

Consider the module's overall effectiveness.

To what extent did this module:

1. accomplish its stated learning objectives?
2. meet your expectations?
3. motivate you to use the material presented in your work?
4. improve your ability to manage?
5. appear appropriate for other persons in similar positions?
6. How could the module's effectiveness be improved?

Very Little      Some      Quite A Bit      A Very Great Deal

1   2   3   4   5   6   7   8

Example: ☒ - Right    ☒ - Wrong

|   |                          |                          |                          |                          |                          |                          |                          |                          |
|---|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| 1 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 5 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Considering next the module materials and presentation; to what extent did each of the following contribute to the module's effectiveness?

7. Videotape (or other AV material)
8. Handout material items
9. Team exercises (or similar activities)
10. Other group discussion
11. Leader's presentation

To what extent did the leader:

12. relate well to the group?
13. make effective use of group participation?
14. keep the discussion on the topic?

15. How could the module's materials or presentation be improved?

16. Are there other changes needed; in the module, this evaluation, or the HEMI Program?

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6 Write comments on the back, key to no. 6.

|    |                          |                          |                          |                          |                          |                          |                          |                          |
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15 Write comments on the back, key to question nos.

## 2. PROCESSES

### 2.1 Planning

#### 2.1.1 Defining Goals and Objectives

- Situation analysis
- Using market research information
- Defining the institutional mission
- Determining the values of different constituencies
- Using Gelphi techniques
- Defining institutional outcomes
- Linking institutional objectives with program and individual objectives

#### 2.1.2 Developing and Implementing a Plan

- Interpreting the action implication of objectives

#### 2.1.3 Individual Development Planning

- Interviewing for development planning
- Characteristics of effective individual development planning programs
- Preparing your development plan

### 2.2 Budgeting

#### 2.2.1 Creating a Budget

- Relating budgets to plans
- Resource allocation techniques
- Cost evaluation and prediction models
- Implementation

#### 2.2.2 Finance for the Nonfinancial Manager

- Issues of style and formality
- Reading a financial statement
- Approvals procedures
- Variance analysis
- Expenditure control methods

### 2.3 Organizing

#### 2.3.1 Institutional Organization

- Inventorying operating realities
- Organizing to meet policy objectives
- Span of control issues
- Allocating responsibility, authority, and accountability

### 2.3.2 Departmental Organization

- Roles and responsibilities
- Using support staff effectively
- Work practice analysis and improvement

### 2.3.3 Staffing

- Defining the job
- Recruiting candidates
- Screening and evaluating candidates
- Maximizing your chances of making the right selection
- Hiring
- Introducing the person into the organization

## 2.4 Marketing

### 2.4.1 Market Analysis and Research

- Defining the markets served
- Describing the key market segments
- Assessing institutional image
- Determining relevant trends
- Analyzing competition

### 2.4.2 Developing a Marketing Plan

- Creating a marketing attitude
- The exchange relationship
- Positioning the institution
- Designing services to meet the market needs
- Pricing considerations
- Communicating with the market

## 2.5 Evaluating

### 2.5.1 Institutional Evaluation

- The need to measure institutional performance
- Systematic approaches
- The outcomes of higher education
- Qualitative and quantitative measures
- Organizing for evaluation

### 2.5.2 Program Evaluation

- Setting measurable objectives
- Qualitative and quantitative measures
- Design the processes

### 2.5.3 Individual Progress Review

- Problems in progress review
- Designing a progress review system
- Conducting progress review sessions

### 3. ACTIVITIES

#### 3.1 Instruction

##### 3.1.1 Managing Instructional Process

##### 3.1.2 Managing Curriculum Development Activities

#### 3.2 Research

##### 3.2.1 Managing Major Research Projects

#### 3.3 Public Service

##### 3.3.1 Managing Public Service Activities

#### 3.4 Academic Support

##### 3.4.1 Managing the Library

##### 3.4.2 Managing the Media Center

##### 3.4.3 Managing the Academic Department

##### 3.4.4 Managing Computer Services

#### 3.5 Student Services

##### 3.5.1 Managing Student Services

#### 3.6 Institutional Support

##### 3.6.1 Managing Student Recruitment, Admissions and Records

##### 3.6.2 Managing Fund Raising and Public Relations with Alumni, the Community, Government and Foundations

##### 3.6.3 Managing Institutional Compliance with Laws

##### 3.6.4 Managing Physical Plant Operations

#### 3.7 Independent Operations

##### 3.7.1 Managing Food Service

##### 3.7.2 Managing the Book Store

##### 3.7.3 Managing Residences

## 4. SKILLS

### 4.1 Managing Time

#### 4.1.1 Time Management for Managers and Work Groups

- Self-assessment Inventory for identifying time wasters
- Ideas for improving your use of time
- Preparing an action plan
- Keeping a time log
- Improving the time management skills of those around you

#### 4.1.2 Time Management for Manager-Secretary Teams

- Self-assessment
- Ideas for managing the team's time effectively
- Action planning

### 4.2 Conducting Meetings

- Analyzing the objectives of a meeting
- Structuring a meeting
- Effective use of agendas
- Alternative processes for conducting a meeting
- Keeping the meeting moving
- Ideas for insuring productive results

### 4.3 Analyzing Information

#### 4.3.1 Introduction to Computer and Data Processing

#### 4.3.2 Introduction to Management Science and System Analysis

#### 4.3.3 A Manager's Guide to Using Institutional Research and Higher Education Data Bases

#### 4.3.4 A Technical Guide to Designing Information Systems

### 4.4 Negotiating

#### 4.4.1 General Negotiating Techniques

- Defining objectives
- General bargaining concepts
- Delineating areas of agreement and disagreement
- Defining priorities and values
- Analytical aids

#### 4.4.2 Union Negotiations

- Organizing the negotiation team
- Analyzing and understanding contracts
- Elements of color law
- Art and science of compromise

### 4.5 Career Planning

#### 4.5.1 Introduction to Life Work Planning

- Outlining goals and objectives for life/work planning
- Considering career change
- The importance of individual life/work planning to the institution
- Basic concepts in life/work planning
- Clarifying values for life/work planning
- Relating values to goals
- The special problems of women and minorities

#### 4.5.2 Developing and Monitoring a Career Plan for Yourself

- Defining needed experiences
- Defining needed education
- Setting a timetable
- A practical format for defining your plan
- Ways to monitor your progress and desires



## Individual Progress Review

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### Contents

- Section 1 Introduction
- Section 2 Presentation Instructions
- Section 3 Presentation Materials
- Section 4 Module Evaluation
- Section 5 Script
- Section 6 Resources



## Management Development and Training Program for Colleges and Universities

### 2.5.1 INDIVIDUAL PROGRESS REVIEW

#### OBJECTIVES

Upon completion of this module, you should be better able to:

- Identify problems in progress review
- Design an effective progress review system
- Conduct progress review interviews which are oriented toward the development of the individual
- Listen actively, solve progress review problems, and give and get feedback
- Apply the knowledge and skills gained during the session to your institutional responsibilities



## Management Development and Training Program for Colleges and Universities

### 2.5.1 INDIVIDUAL PROGRESS REVIEW

| UNIT | TOPICS                                         | ACTIVITIES                                                                                                                                                                                                                                                                                                                  | TIME |      |
|------|------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|------|
|      |                                                |                                                                                                                                                                                                                                                                                                                             | MIN. | CUM. |
| 1    | Problems in Progress Review                    | -Introductions (Items 1 and 2)<br>-Videotape vignette: "The Form"<br>-Discussion: Poor Practices in Progress Review                                                                                                                                                                                                         |      |      |
| 2    | HEMI SURVEY DATA (optional)                    | -Discussion                                                                                                                                                                                                                                                                                                                 |      |      |
| 3    | Designing A Progress Review System             | -Videotape presentation<br>-Discussion (Items 3, 4, and 5)<br>-Discussion: Your institution's progress review procedures<br>-Exercises: Improving or supplementing your institution's progress review procedures (Item 6)                                                                                                   |      |      |
| 4    | Progress Review-- A Dialogue About Performance | -Exercise: Communication Questionnaire (Item 7)<br>-Videotape presentation<br>-Discussion: Characteristics of Effective Progress Review (Item 8)<br>-Exercise: How Would You Respond? (Items 9 and 10)<br>-Discussion: Suggestions for Progress Review Sessions (Item 11)<br>-Exercise: Progress Review Role Play (Item 12) |      |      |
| 5    | Summary and Follow Up Evaluation               | -Discussion                                                                                                                                                                                                                                                                                                                 |      |      |

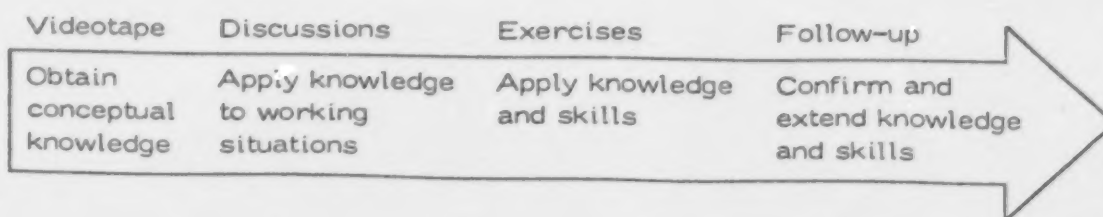


## MODULAR DEVELOPMENT AND TRAINING

The Modular Development and Training system developed by the Higher Education Management Institute is:

- Organization-wide. Substantially all the managers in the institution have the opportunity to participate in training activities if they choose to do so.
- Focused on needs as perceived by each institution, and the work groups within the institution.
- Ongoing. The Program is not a short course or a one-time training program. It is intended to be used by work groups in the institution to effect improvement over time, using the modules and other needed interventions.
- Integrated with problems faced on the job. The content of the modules is intended to apply directly to the problems faced by managers in colleges and universities. Exercises and other group discussions are intended to deal with real problems.
- Time conscious. The time of managers is scarce and the institution's budget for management development and training is tight. The modules have been designed to accomplish their objectives in minimum time.

A typical module will consist of a videotape presentation, which will be stopped from time to time for discussion and exercises. In most cases, the session will last a half day. Follow-up will involve making plans for specific changes on the job, as well as decisions about other modules to take.





## Management Development and Training Program for Colleges and Universities

### 2.5.1 INDIVIDUAL PROGRESS REVIEW

#### SECTION 2: PRESENTATION INSTRUCTIONS

|                                                       | <u>Page</u> |
|-------------------------------------------------------|-------------|
| UNIT 1: Problems in Progress Review                   | 2.2         |
| UNIT 2: Needs Assessment Survey Data                  | 2.3         |
| UNIT 3: Designing a Progress Review System            | 2.5         |
| UNIT 4: Progress Review: a Dialogue about performance | 2.6         |
| UNIT 5: Summary and Follow-Up                         | 2.9         |



## Management Development and Training Program for Colleges and Universities

### 2.5.1 INDIVIDUAL PROGRESS REVIEW

| UNIT 1: PROBLEMS IN PROGRESS REVIEW                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | ITEM |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| <ol style="list-style-type: none"><li data-bbox="259 544 1074 604">1. Begin the session by introducing yourself and by asking all participants to introduce themselves.</li><li data-bbox="259 675 1080 771">2. Distribute Item 1 (Objectives of the Module) and Item 2 (Contents and Schedule). Discuss both items with the group.</li><li data-bbox="259 842 1144 962">3. Tell participants that they will now watch a videotape which will dramatize how <u>not</u> to conduct a progress session. Alert them to be on the lookout for poor practices.</li><li data-bbox="259 1033 661 1061">4. Start the videotape.</li><li data-bbox="259 1133 1074 1160">5. Stop the videotape when the HEMI logo appears.</li><li data-bbox="259 1232 1132 1320">6. Start a discussion of the vignette. Ask participants to volunteer their ideas and identify the poor practices dramatized in the episode.</li></ol> | 1, 2 |



## Management Development and Training Program for Colleges and Universities

### 2.5.1 INDIVIDUAL PROGRESS REVIEW

#### UNIT 2 NEEDS ASSESSMENT SURVEY DATA

**NOTE:** This unit is optional. If this module is being offered in response to a need identified through the survey you should include this unit. If the module is being offered outside this context, leave it out.

##### PRE-SESSION

1. Ask participants to bring their Needs Assessment survey report to the session.
2. Obtain appropriate Needs Assessment survey reports from the HEMI Project Coordinator at your institution. For example, if the session is for academic department heads obtain aggregate reports for all faculty and all department heads, etc.
3. Make sufficient copies of the appropriate section (usually one page) of the report for distribution to participants.
4. Refer to the following page for a brief description of survey items relevant to this module.

##### IN-SESSION

1. Inform the group that it may be useful to take some time to re-view relevant survey results with the group to help relate this module to the participant's job situation.
2. Distribute copies of the appropriate section of the HEMI survey report. (Aggregate data for all faculty, all department heads, all staff, etc.)
3. Ask each participating manager to compare the scores of his or her group with the scores on the aggregate reports.
4. Ask managers why they think their scores, or the institutional scores, are as high or as low as they are.
5. Ask the group to develop suggestions for improving low scores and maintaining high scores.



## Management Development and Training Program for Colleges and Universities

### 2.5.1 INDIVIDUAL PROGRESS REVIEW

#### UNIT 2 NEEDS ASSESSMENT SURVEY DATA

The survey report groups questions into indexes. There is at least one index for each management function within Tasks, Processes and Activities. Following is a list of questions that relate most directly to this module (specific wording varies in the questionnaires):

#### INDEX

##### 2.5.1 EVALUATING (MANAGER)

- How often do you receive feedback on your performance?
- How satisfied are you with the way you receive feedback on your performance?
- How effective is (your supervisor) in coaching and developing employees to improve performance?



## Management Development and Training Program for Colleges and Universities

### 2.5.1 INDIVIDUAL PROGRESS REVIEW

| UNIT 3: DESIGNING A PROGRESS REVIEW SYSTEM |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | ITEM      |
|--------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|
| 1.                                         | Tell participants that they will now watch a videotape which will illustrate the procedures involved in designing an effective progress review system.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |           |
| 2.                                         | Start the videotape.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |           |
| 3.                                         | Stop the videotape when the HEMI logo appears.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |           |
| 4.                                         | Distribute Item 3 (Management Processes), Item 4 (Designing an Effective Progress Review System), and Item 5 (A Model for a Progress Review System), and discuss these with the group.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | 3, 4<br>5 |
| 5.                                         | Distribute copies of your institution's progress review procedures and discuss these in the light of the videotape presentation and Item 4. <u>Be sure to have sufficient copies available if you follow this step.</u> If your institution does not have progress review procedures, you may want to use the Sample Progress Review Procedures included in Section 6 of this Leader's Guide.                                                                                                                                                                                                                                                                                                                                  |           |
| 6.                                         | If your institution does not have a progress review procedure, or if you feel that the progress review procedures in your institution work group can be improved, then:<br><br>6.1 Distribute Item 6 (Sample Progress Review form) and ask the participants to fill it out as though they were preparing to have their own jobs reviewed.<br><br>6.2 Using an easel pad or chalk board, ask members of the group to share some of their responses to give them a sense of how they are responding to the form.<br><br>6.3 Lead a discussion about how the progress review procedures in your institution could be improved (or how procedures could be developed if they don't exist) by using this form or one similar to it. | 6         |



## Management Development and Training Program for Colleges and Universities

### 2.5.1 INDIVIDUAL PROGRESS REVIEW

| UNIT 4: PROGRESS REVIEW--A DIALOGUE ABOUT PERFORMANCE |                                                                                                                                                                                                                                                                                                                                                                                                                             | ITEM |
|-------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|
| 1.                                                    | Distribute Item 7 (Communication Questionnaire).<br>Read the instructions with the participants and ask if there are any questions.                                                                                                                                                                                                                                                                                         | 7    |
| 1.1                                                   | Ask the participants to complete the questionnaire. Explain that this is an individual exercise, and need not be shared with anyone else.                                                                                                                                                                                                                                                                                   |      |
| 1.2                                                   | After everyone has completed the questionnaire, ask individual members of the group to volunteer their result answers to a few of the questions and to identify areas which they feel need improvement in their present work situation. Help the group as a whole discuss the results of the exercise. Talk about both the relationship of the participants with their own managers and with the people who report to them. |      |
| 2.                                                    | Tell the participants that they will now watch a videotape which will show how to conduct an effective progress review discussion.                                                                                                                                                                                                                                                                                          |      |
| 3.                                                    | Start the videotape.                                                                                                                                                                                                                                                                                                                                                                                                        |      |
| 4.                                                    | Stop the videotape when the HEMI logo appears.                                                                                                                                                                                                                                                                                                                                                                              |      |
| 5.                                                    | Distribute Item 8 (Characteristics of Effective Progress Review) and discuss it briefly with the group.                                                                                                                                                                                                                                                                                                                     | 8    |
| 6.                                                    | Distribute Item 9 (How would you respond?)                                                                                                                                                                                                                                                                                                                                                                                  | 9    |
| 6.1                                                   | Ask the participants to mark their choices, working individually and without consultation.                                                                                                                                                                                                                                                                                                                                  |      |
| 6.2                                                   | After the participants have marked their choices, distribute Item 10 (Analyzing Answers to "How Would You Respond" Questionnaire).                                                                                                                                                                                                                                                                                          | 10   |
| 6.3                                                   | Ask participants to analyze their choices. How often did they mark the Active Listening choice?                                                                                                                                                                                                                                                                                                                             |      |



## Management Development and Training Program for Colleges and Universities

### 2.5.1 INDIVIDUAL PROGRESS REVIEW

| UNIT 4: PROGRESS REVIEW--A DIALOGUE ABOUT PERFORMANCE                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | ITEM                |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|
| <p>Did their scores on any of the other items fall in-<br/>to any patterns? Do any of them see themselves<br/>as Judges, Detectives, etc.</p> <p>6.4 Explain that the progress review procedure and<br/>other interviews on the job should be opportunities<br/>to <u>listen</u> and <u>learn</u>. The purpose of the perform-<br/>ance review is not to play a role such as<br/>detective or judge.</p> <p>7. Distribute Item 11 (Suggestions for Progress Review<br/>Sessions) and discuss it briefly with the group.</p> <p>8. Determine how you will conduct the role play exercise<br/>(see "Note About the Progress Review Role Play" on<br/>the following page), and distribute appropriate copies<br/>of Item 12 (Progress Review, Role Play Materials).</p> <p>8.1 Explain the purpose of the role play and summa-<br/>rize Item 12-1 (Progress Review Role Play--the<br/>Setting) for the group.</p> <p>8.2 Conduct the role play (divide into small groups if<br/>necessary).</p> <p>8.3 Lead a discussion for the whole group about the<br/>role play, stressing points where effective<br/>progress review techniques were used.</p> | <p>11</p> <p>12</p> |



## Management Development and Training Program for Colleges and Universities

### 2.5.1 INDIVIDUAL PROGRESS REVIEW

| NOTE ABOUT THE PROGRESS REVIEW ROLE PLAY                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | ITEM                 |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|
| <p>The purpose of the progress review role play is to translate the content of the videotape into practice. The goal is to stimulate an actual progress review session and to give those who play the roles some feedback on their effective and ineffective behaviors.</p> <p>The role play can be conducted in two ways:</p> <ol style="list-style-type: none"><li>1. Two individuals can be assigned the principal roles, given some preparation time, and asked to play out the discussion before the entire group. The group then critiques their performance according to the "Questions for Observers" provided.</li><li>2. The class can be divided into groups of three (triads). Each triad consists of the two players and an observer. The players play out the discussion, and the observer gives each feedback upon their performance.</li></ol> <p>The first alternative is less chaotic with a large group. Only two persons get a chance to perform the behaviors learned during the program. However, if the players are volunteers, it is likely that the group will observe a good performance. When multiple observers critique the same performance, richer feedback may result.</p> <p>The second alternative gives more participants a chance to play one of the roles. However, the quality of the feedback each receives from the single observer is diminished.</p> <p>Regardless of the alternative chosen, introduce the role play by distributing item 12-1 (Progress Review Role Play: The Setting) and Item 12-4 (Questions for Role Play Observers) to everyone. But give each player <u>only</u> the handout describing his or her <u>individual role</u>. The parts for the two role players are written so that each must genuinely share perceptions with the other in order to surface the "performance problem." Encourage each player to try to "get into the role" before running the exercise. When processing the exercise afterward, try to elicit observer comment on as many of the "Questions for Role Play Observers" as possible.</p> | <p>12-1<br/>12-4</p> |



## Management Development and Training Program for Colleges and Universities

### 2.5.1 INDIVIDUAL PROGRESS REVIEW

| UNIT 5: SUMMARY AND FOLLOW-UP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | ITEM           |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|
| <ol style="list-style-type: none"><li>1. Briefly summarize the main points in the module. Refer to the items which summarize ideas in outline form (Items 1,2,4,8, and 11).</li><li>2. Answer any questions participants may have about the content of the module.</li><li>3. Recommend other modules, especially 2.5.2 INDIVIDUAL PROGRESS REVIEW, 1.4.1 THE COMMUNICATION PROCESS, and 1.4.2 FEEDBACK.</li><li>4. Suggest that participants meet again within a month to discuss their experience with initiating or improving the progress review system at their institutions of conducting progress review sessions.</li></ol> | 1,2,4,8,<br>11 |